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AUGUSTINE'S USE OF THE VERSES 1, 1 AND 1, 14 FROM THE GOSPEL OF JOHN IN THE FIRST TWO BOOKS OF ON THE TRINITY*

MĂDĂLINA-GABRIELA PANTEA**

ABSTRACT. Augustine's use of the verses 1, 1 and 1, 14 from the *Gospel of John* in the first two books of *On the Trinity*. In books 1-2 of *On the Trinity*, Augustine uses recurrently two verses from the *Gospel of John*, namely 1, 1 ("In the beginning was the Word, and Word was with God, and the Word was God") and 1, 14 ("And the Word was made flesh and dwelt among us") in order to highlight the fact that Christ, in the form of a servant (*forma servi*) did not lose his divine form (*forma Dei*).

Keywords: *Trinity, The Gospel of John, forma servi, forma Dei*

In the treatise *On the Trinity*, Augustine proposes a model of knowledge on how the Trinity can be understood as a unique substance, but in the same time divided in three substances. Though we are entitled to ask ourselves if and how this knowledge can be achieved. Augustine's point of departure in the knowledge of the Trinity is relying in the first place on the hermeneutical method based on the Scriptural text. For example, in books 1-2 of the treatise *On the Trinity*, he uses recurrently two verses from the *Gospel of John*, namely 1, 1 and 1, 14 in order to explain the different attributes of each person from the Trinity, the Father, who created the world, through his own word, the two nature of the Son, the divine one (*forma Dei*) and the servant one (*forma servi*), which he received in the moment of the incarnation, and the different forms in which the Holy Spirit appeared.

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Secondly, these two verses from the *Gospel of John*, are used by Augustine in order to construct an epistemological model of knowledge of the Trinity, in the sense that the knowledge of the triune God cannot be achieved without using intermediaries. The fact that the verse 1, 14 is saying: “And the Word was made flesh and dwelt among us” is helping him to explain the sending of the Son by the Father. The Father, in the role of the craftsman, was able to send him into this world in a human body, made of flesh, like all the immortals. Therefore, the epistemological model which can lead to the knowledge of the Trinity can be explained in Augustine’s view. Thus, the two forms of Christ are bringing humans attention to one of the mystery of the Trinity: how Christ can have both a divine and a human nature? Therefore, are all the humans able to achieve the knowledge of the two forms?

In book 11 of the treatise *Confessions*, Augustine proposed the knowledge of God in time. The man has to use his time in this world in a manner which can lead him to the true knowledge of God, and more than that, he has to live his life in time according to the Christian faith, to have the guarantee of salvation. Thus, as we will see through this paper, Augustine is not interested in the treatise *On the Trinity* to put a debate on how the humans can achieve the knowledge of God in time. Although, we have to mention that he is using, both in *Confessions* and later in the treatise *The Literal meaning of Genesis*, the verse 1, 1 from the *Gospel of John* with the same propose, to highlight the fact that God is the only creator of the universe, and his Word remains unchangeable and cannot be altered by time, time being also a divine creation.¹ Thus like the Trinity, time is not a material concept for

¹ “So what are we to say, then? Is the voice of God best understood as being the intelligible meaning of the audible utterance, *Let Light be made*, and not the audible utterance itself? And the question then arises whether this does not belong to the very nature of his Word, about which it is said, *In the beginning was the Word, and the Word was with God, and it is God that the Word was* (Jn 1:1)? Seeing that it is said about him, *All things were made through him* (Jn 1:3), it is evident enough that light also was made through him, when God said, “Let light be made.” If that is the case, then God’s saying *Let light be made* is something eternal, because the Word of God, God with God, the only Son of God, is co-eternal with the Father, although when God said this in the eternal Word, a time-bound creature was made. While “when” and “some time” are time words, all the same the time when something should be made is eternal for the Word of God, and it is then made when it is that Word that it should have been made, in the Word in which there is no “when” nor “some time,” because that whole Word is eternal.” AUGUSTINE, *The literal meaning of Genesis, Introduction*, translation and notes by E. HILL, O. P., New City Press, 2002, 1, 2, 6. “You call us, therefore, to understand the Word, God who is with you God. That word is spoken eternally, and by it all things are uttered eternally. It is not the case that what was being said comes to an end, and something else is then said, so that everything is uttered in a successions with a conclusion, but everything is said in the simultaneity of eternity”. (...) And so by the Word coeternal with yourself, you say all that you say in simultaneity and eternity, and whatever you say will come about does come about. You do not cause it to exist other than by speaking. Yet not all that you cause to exist by speaking is made in simultaneity and eternity.” AUGUSTINE, *Confessions*, translated with an *Introduction* and notes by H. CHADWICK, Oxford University Press, 1991, 11, 7, 9.

which an equivalent in reality can be found. Augustine tried to find an answer regarding the nature of time, he wrote:

What is time? Who can explain this easily and briefly? Who can comprehend this even in thought so as to articulate the answer in words? Yet what do we speak of, in our familiar everyday conversation, more than of time? We surely know what we mean when we speak of it. We also know what is meant when we hear someone else talking about it. What then is time? Provided that no one asks me, I do not know.²

Even though, a correspondent of time cannot be found in the created world, time for Augustine can be perceived by the memory,³ in book 11 of *Confessions*, stated that there are three types of time, the first one being: “the present considering the past, is the memory”.⁴ But if the past can be perceived as a present in the memory, this fact means that the things from the past can be actualized in the memory as being present every time when they are actualized by it. G. O’Daly stated that one of Augustine’s favourite metaphor related to the memory is that he calls the memory “the stomach (*venter*) of the mind”, making reference to the power of the memory “to digest and reuse its images in knowledge, skills and action”.⁵ Therefore, in both cases of the knowledge of time or Trinity, the mind (*mens*) needs images on which to rely his knowledge.

In order to follow Augustine’s both hermeneutical and epistemological methods and the manner in which he is instrumenting the two verses from the *Gospel of John*, this paper will be divided in two parts: in the first part we will follow the tumultuous history of the treatise and in the second part we will lay our attention on the manner in which Augustine is instrumenting the verses 1, 1 and 1, 1, 14 from the *Gospel of John* in books 1-2, in order to understand how God can be known as a unique substance.

² AUGUSTINE, *Confessions*, 11, 14, 17.

³ For a brief definition of the concept of memory in Augustine see: C. NADEAU, *Le vocabulaire de saint Augustin*, Ellipses, 2009, pp. 65–68.

⁴ “In the soul there are these three aspects of time, and I do not see them anywhere else. The present considering the past is the memory, the present considering the present is immediate awareness, the present considering the future is expectation. If we are allowed to use such language, I see three times, and I admit they are three.” AUGUSTINE, *Confessions*, 11, 20, 26.

⁵ G. O’DALY, *Augustine’s Philosophy of Mind*, University of California Press, 1987, p. 133.

1. Dating the treatise *On the Trinity*

The composition of the treatise *On the Trinity* as A. Trapè⁶ noticed had a long and unsettled history and to reconstruct it, he propose to lay our attention on five sources which can lead to an accurate dating. The first one is the letter which Augustine is sending to Aurelius, the bishop of Cartage, the letter serves as the *Prologue* of the treatise⁷.

In this letter, Augustine is writing him that his intention was not to publish the books of his treatise one by one, but to publish the entire treatise all at once, but unfortunately it was stolen from him, before it was completed. After he finished all the 15th books, in order to publish it, he tried to emend the whole treatise, but the outcome was not what he wished for, though being compelled by some of his brethren and by the bishop himself he finally published it. In the last part of the *Prologue* Augustine is providing some important statements concerning the circulation of the stolen parts of the treatise, he wrote: "There are some persons, however, who have the first four, or rather five, books without the prefaces, and the twelfth with no small part of its later chapters omitted."⁸ Secondly, A. Trapè is making reference to the treatise *Retractationes* where Augustine is making a resume of the letter which he send to the bishop of Cartage, by stating again that it was stolen for him, the third source is the *Letter 120* to Consensius, the fourth is the *Letter 143* to Marcellinus and the fifth is the *Letter 160* to Evodius.⁹

L. Ayres is stating in the same manner as A. Trapè, that the treatise *On the Trinity* was composed in a long time and the fact that it was stolen from him before he completed the 12th book. L. Ayres is stating also that Augustine reviewed especially the earlier books by adding substantial discussions to the beginnings of each of them. Unlike A. Trapè, L. Ayres affirmed that the letters and the text from the *Retractationes* can be interpreted and the questions which are put into debate about the dating of the treatise must have as a point of departure the researches of A. M. La Bonnardière and P. M. Hombert and also Roland Kany's text about the two studies.¹⁰

In his treatise *Augustine and the Trinity*, L. Ayres is offering the both opinions of the two researchers as it follows:

⁶ A. TRAPÈ, *Introduzione*, in AGOSTINO, *La Trinità*, introduzione di A. TRAPÈ e M. F. SCIACCA, traduzione e note di G. BESCHIN, indici di F. MONTEVERDE, Città Nuova, 2011, p. XIX. Through this paper I will quote the English translation of Augustine's treatise *On the Trinity* made by A. W. HADDAN, T. & T. Clark, 38, George Street, 1873.

⁷ Augustine wrote at the end of the Letter: "At any rate, I have to request that you will order this letter to be prefixed separately, but at the beginning of the Books."

⁸ AUGUSTINE, *On the Trinity*, Prologue.

⁹ A. TRAPÈ, *Introduzione*, p. XIX.

¹⁰ L. AYRES, *Augustine and the Trinity*, Cambridge University Press, 2010, p. 118.

I. The method of A. M. La Bonnardière:

- (1) Augustine began the work after 404;
- (2) between 411 and 414 Augustine wrote the bulk of *De Trinitate* 2-4 as a literary unity, except the prefaces and later additions which she identifies;
- (3) commencing in 416-17 Augustine wrote or redacted *De Trinitate* 5-7 (as the same time as *civ. II*) after he acquired some knowledge of Eumonian doctrine;
- (4) in 417-18 Augustine compiled *De Trinitate* 8-12a (ending at 12. 14. 23);
- (5) in a final period beginning in 419 Augustine finished the work, ending sometime between 420 and 425.

II. The method of P. M. Hombert, which is making reference only to the four books of the treatise:

- (1) 400-03, *De Trinitate* 1;
- (2) 411-13, *De Trinitate* 2-3;
- (3) 414-15, *De Trinitate* 4¹¹.

The opinion provided by L. Ayres about the dating of the treatise *On the Trinity* is that he assumes that Augustine began to write his work in 400-405. He agrees with A. M. La Bonnardière that the books 2-4 were written between 411-415, thus he is arguing that he found a significant material which originates in the texts from 400-410, hence is stating that this material is not having such a great significance on the dating of the treatise. Though, L. Ayres does not completely agree with A. M. La Bonnardière about the dating of the books 5-7 after 416, and other opinions are concluding that maybe Augustine begin to work on them after 414, with the amendment that it can be established that the books which we do know now have been redacted. Though, unlike A. M. La Bonnardière, L. Ayres has the certitude that books 5-12^a were written between 414 and 418, and the last ones between 419 and 427.¹²

A. Trapè's final assumption about the dating of the treatise is that Augustine begin to work on it in 399 and a provisory redaction had place in 412 and the final redaction took place between 420 and 421.¹³

¹¹ L. AYRES, *Augustine and the Trinity*, p. 119.

¹² L. AYRES, *Augustine and the Trinity*, p. 120.

¹³ A. TRAPÈ, *Introduzione*, p. XXI.

2. The books 1-2 of the treatise *On the Trinity*

In the previous section of this paper we have traced the history of Augustine's treatise *On the Trinity* and the periods of time in which it was composed. The Bishop of Hippo noted in the letter send to Aurelius, that he began to write his treatise "as being a young man and finished it as being old".¹⁴ Perhaps this is one of the reasons for which most of the researchers are putting a separate debate on the books 1-4, due to the fact that they are appertaining to his youth writings.¹⁵ It is not the intention of this paper to continue the debate about this fact, even though in the next part of the paper we have choose to focus our attention only on the books 1-2 of the treatise, and we will ask the reader as Augustine wanted, to be aware of the fact that these books were edited in his elder years.

The treatise *On the Trinity*, as A. Trapè remarked,¹⁶ is not addressed to a particular recipient, in the first chapter of book 1 of the treatise Augustine is announcing what was his intention when he began to write his treatise and he distinguishes between three categories of people, he wrote:

(1) Now one class of such men endeavour to transfer to things incorporeal and spiritual the ideas they have formed, whether through experience of the bodily senses, or by natural human wit and diligent quickness, or by the aid of art, from things corporeal; so as to seek to measure and conceive of the former by the latter. (2) Others, again, frame whatever sentiments they may have concerning God according to the nature of affections of the human mind; and through this error they govern their discourse, in disputing concerning God according to the

¹⁴ AUGUSTINE, *On the Trinity*, Prologue.

¹⁵ L. GIOIA in the chapter "Against the 'Arians': Outline of Books 1 to 7" from his book *The theological Epistemology of Augustine's De trinitate*, Oxford University Press, 2008, pp. 24–39, p. 24, is stating that: "most commentators treat books 1 to 4 separately from books 5 to 7 and consider them as discrete, independent unities. On the contrary, the treatment of boos 1 to 7 as a single unity is crucially important for the correct interpretation of Augustine's doctrine of the Trinity." Thus, the fact that the first four books are appertaining to his young writings is not entirely valid, but the discussions about this fact are still open. Aside, L. AVRES in the chapter "Recommending the source" from the book which we have quoted previously, *Augustine and the Trinity*, pp. 177–198, p. 177, is announcing that his intention in this chapter is to argue about Augustine's "second exegetical rule that Augustine suggests at the beginning of *De trinitate*", he is focusing his attention in the first part of the chapter on the 2 book of the treatise. But, with an amendment for his readers concerning the editing of the 2 book: "At the very least, much of Book 2 seems to have been the subject of extensive editing, and it is on these sections of the book that I focus my attention in the first half of the chapter. Thus, it is best for the reader to be cautious and treat the ideas I discuss here as the product of Augustine's mature thought finally edited, if not simply composed, in the period between 415 and 420."

¹⁶ A. TRAPÈ, *Introduzione*, p. XI.

nature or affections of the human mind; and through this error they govern their discourse, in disputing concerning God, by distorted and fallacious rule. (3) While yet a third class strive indeed to transcend the whole creation, which doubtless is changeable, in order to raise their thought to the unchangeable substance, which is God; but being weighed down by the burden of mortality, whilst they both would seem to know what they do not, and cannot know what they would, preclude themselves from entering the very path of understanding, by an over-bold affirmation of their own presumptuous judgements choosing rather not to correct their own opinion when it is perverse, than to change that which they have once defended.¹⁷

The intention of Augustine was to sketch the fact that each category of people is finding themselves in error. The first one is basing his knowledge on corporeal existence, the second one on the affection of the human mind, and the third one is putting a debate on creation. The error which is occurring concerning the first category of people is the fact that their opinions are based only on the bodily senses, which for Augustine is wrong, due the fact that the true knowledge of God cannot be achieved through corporeal sensitivity. For the bishop of Hippo the body has to be looked as a divine creation, God has created the human body after his image.¹⁸

The first category is related to third one, which are putting a debate on creation. Since, Augustine in the continuation of the passage that we have quoted is stating that first category is in error when is thinking “that God can be white or red and yet these things are found in the body”.¹⁹ In addition, the human body was made after the image of the divinity, this does not mean that in God such things as the colours can be found, because the result it will be, as Augustine is saying, that God could generate himself.²⁰ If he would have generated himself that would, signify that God did not existed from the eternity, which it comes in contradiction with the beliefs of Christian faith.

The second category of people are finding themselves in error, due to the fact that they are not possessing the true meaning of the mind and they get affected by it. For Augustine the mind (*mens* or *anima*, *animus*, *spiritus*) has the following

¹⁷ AUGUSTINE, *On the Trinity*, Book 1, 1, 1, the numeration from the quoted passage belongs to me, with the intention to facilitate the reading of it.

¹⁸ For a more detail debate on the meaning of the body in Augustine and for the meaning of the biblical verse: *Faciamus homine ad imagine et similitudine nostram* see G. P. BOERSMA's chapter: “The body and the Imago Dei” in G. P. BOERSMA, *Augustine's early theology of image – a study in the development of pro-Nicene theology*, Oxford University Press, 2016, pp. 207–223.

¹⁹ AUGUSTINE, *On the Trinity*, 1, 1, 1.

²⁰ AUGUSTINE, *On the Trinity*, 1, 1, 1.

meaning as we can find it defined in *Le vocabulaire de Saint Augustine*: “(...) la mens produit à la fois une connaissance des choses sensibles et de leurs principes. Elle est donc aussi bien une raison qu’une intelligence (intellect) qui elle-même permet d’accéder à la sagesse.”²¹

After the Bishop of Hippo delimited the three categories of people, he is urging his readers that there are some difficulties in contemplating God’s substance who can make things to change and whom creates temporal things without changing himself. Though, he said that the process of the purging of the mind is necessary in order to comprehend the divine substance,²² and the main issue which occurs in contemplating God’s substance is the fact that Christ has both a form of a servant (*forma servi*) and a divine form (*forma dei*).²³ Christ received the form of the servant in the moment when he was born, thus in his divine form is equal to the Father.²⁴

Moving forward, in the 4th chapter of book 1, Augustine continues the debate about the divine nature. In the beginning of the chapter, he is remembering those whom were writing about the Trinity according to Scriptures, before him. The bishop of Hippo is making clearly the fact that the divine Trinity is God, all of the three persons from the Trinity: the Father, the Son and Holy Spirit are sharing the same “divine unity of one and the same substance in an indivisible equality”.²⁵ Then Augustine is outlining the fact that there are not three Gods but only one. The Father is the one from whom the Son is born, and the Holy Spirit, says Augustine, is the Spirit of both the Father and the Son, the three persons are partaking to the same unity in the Trinity, with the amendment that: the Father cannot be the Son, and Son cannot be the Father, and the same with the Holy Spirit.²⁶

²¹ C. NADEAU, *Le vocabulaire de Saint Augustin*, Elipses 2009, p. 12. About the terms *anima* and *animus* and mind G. O’DALY noticed: “*Anima*, as well as *animus*, can apply without distinction of meaning to the human soul in general, and in the work *de immortalitate animae* and elsewhere the two terms are employed interchangeably. The mind (*mens, ratio*) is a ‘part of the soul’ (*pars animi*) namely its best ‘part’ (c. *Acad.* 1.5), or ‘that which is pre-eminent in the soul’ (*quod exellit in anima*, *trin.* 14. 26). *Animus* can, however, also mean ‘mind’ and is not used with reference to the souls of non-rational beings. Augustine can also distinguish between aspects or powers of soul by means of an epithet added to *anima*: thus the *anima rationalis*, the seat of mind and will, is contrasted with the *anima irrationalis*, whose powers of appetite sense-perception and memory are common to men and animals. Augustine further recognize the existence of a vegetable soul, even if he usually refers to it as ‘life’, i.e. non-sentient life, rather than ‘soul’”, p. 7.

²² AUGUSTINE, *On the Trinity*, 1, 1, 3.

²³ AUGUSTINE, *On the Trinity*, 1, 1, 3.

²⁴ AUGUSTINE, *On the Trinity*, 1, 1, 3.

²⁵ AUGUSTINE, *On the Trinity*, 1, 4, 7.

²⁶ AUGUSTINE, *On the Trinity*, 1, 4, 7.

Further, Augustine is explaining the roles of the three persons of the Trinity and how they are perceived. As we have noticed, Christ, the Son, has two natures, but this does not mean that the whole Trinity has it, just the Son was the one who was born from the Virgin Mary, died and then resurrected and ascended to the heaven, but not the whole Trinity. The Holy Spirit was the one who appeared when Christ was baptized, and after the ascension of Christ at Pentecost, not the whole Trinity. Also the Father's voice was the one which Christ heard when he was baptized, not the whole Trinity.²⁷ Therefore, until this point it is obvious that the persons from the Trinity are forming a unity, are sharing the same substance, even if their roles in the Trinity are different. Augustine is using the verses from the *Gospel of John* 1, 1 and 1, 14 in the beginning of the 6th chapter, book 1, in order to respond to those who are contesting the fact that Christ is not God, due to the fact that his nature is changeable (*forma servi*), and he is saying:

They who have said that our Lord Jesus Christ is not God, or not very God, or not with the Father the One and only God, or not truly immortal because changeable, are proved wrong by the most plain and unanimous voice of divine testimonies; as, for instance, "In the beginning was the Word, and the Word was with God, and the Word was God." For it is plain that we are to take the Word of God to be the only Son of God, of whom it is afterwards said, "And the Word was made flesh and dwelt among us," on account of that birth of His incarnation, which was wrought in time of the Virgin.²⁸

The first verse from the Gospel of John is used here by Augustine to outline, again, the fact that the Christ is sharing the same substance with the Father, and in the "beginning" when all things were made, Christ, in his divine form (*forma Dei*) was with the Father, therefore he was not created. The word "beginning" is used here to highlight the beginning of time, but not the "beginning" of God, whose nature is eternal and does not have a beginning in time.

The process of the purging of the mind, which Augustine mentioned in the first chapter of book 1, is necessary in order to comprehend the fact that the existence of the divine Trinity is eternal. Aside, the human mind can actualize the image of Christ as carnal, due to the fact that it can find a correspondence in reality, "the Word was made flesh",²⁹ and therefore in this case the process of the purging of the mind it is not necessary. For example, the second category of people on which Augustine puts a debate in the first chapter of this book, will never use the

²⁷ AUGUSTINE, *On the Trinity*, 1, 4, 7.

²⁸ AUGUSTINE, *On the Trinity*, 1, 6, 9.

²⁹ JOHN, 1, 14.

full power of the mind, in order to understand that the word “beginning” does not have a temporal valence, but they can affirm easily that Christ has only a form of servant (*forma servi*) and it lost his divine form (*forma Dei*), due to his changeable nature.

In the 7th chapter of book 1, Augustine’s intention is to strengthen his position regarding the fact that Christ did not lose his divine nature, even if, in the Scriptural text there are passages where it is affirmed that the Father is greater than the Son. In the beginning of the debate is using, again, a verse from the *Gospel of John* (15, 28): “My Father is greater than I”, but he is using also a verse from *Philippians*, 2, 7: “Who, being in the form of God, thought it not robbery to be equal with God; but emptied Himself, and took upon Him the form of a servant, and was made in the likeness of men: and was found in fashion as a man.”³⁰ Therefore, Christ in his divine nature is equal with the Father, he was the Word “by whom all things are made”,³¹ but in his form of a servant was born from a woman. Though in his both forms, Christ is the only Son of God, and it can be said that the Father is greater than the Son only when the last one received the form of a servant.³²

In the first two chapters of book 2 of the treatise, Augustine is recommencing the discussion about the two forms of Christ.³³ In the 5th chapter the Bishop of Hippo debates the sending of the Son and the sending of the Holy Spirit, thus Augustine is outlining the fact that the Father was not sent. Once more, Augustine is making reference to the text of the Scripture in order to explain the sending of the Son and his human nature. The Son came into the world as the Apostle said: “But when the fullness of the time was come, God sent forth His Son, made of a woman, made under the law, to redeem them that were under the law”.³⁴ Augustine in this chapter is continuing the discussion from book 1 of the treatise, where is pointing that each person from the Trinity has a different role, even if they are sharing the same unity of the substance. Only the Son was born from the Virgin Mary, not the whole Trinity.³⁵ Though, the Holy Spirit was with the Son, too: “She was found with child by the Holy Spirit”.³⁶ Until this point of the 5th chapter, it is certain that the Father sent both the Son and Holy Spirit, and that the Son was not send alone. Thus, further Augustine

³⁰ PHILLIPIANS, 2, 7.

³¹ AUGUSTINE, *On the Trinity*, 1, 7, 14, JOHN, 1, 3.

³² AUGUSTINE, *On the Trinity*, 1, 7, 14.

³³ See the chapters 2 and 3 from book 2 of *On the Trinity*.

³⁴ AUGUSTINE, *On the Trinity*, 2, 5, 8.

³⁵ AUGUSTINE, *On the Trinity*, 2, 5, 9.

³⁶ AUGUSTINE, *On the Trinity*, 2, 5, 9.

is trying to establish the two natures of the Son, by pointing that the Son is not losing his role in the Trinity, by saying that “the Word of God is the Son of God Himself”,³⁷ this fact means that the Son was sent both by the Father and by himself.³⁸

Augustine, once more, is outlining that the existence of the Word cannot be a temporal one, and he is using again the two biblical verses from the *Gospel of John* 1, 1 and 1, 14, to sustain the eternal nature of the divinity and the sending of the Son, the bishop of Hippo wrote:

Therefore, since without any commencement of time, the Word was in the beginning, and the Word was with God, and the Word was God, and the Word itself without any time, at what time the Word was to be made flesh and dwell among us. And when the fullness of time had come, “God sent His Son, made of a woman,” that is, made in time, that the Incarnate Word might appear to men; while it was in the Word Himself, apart from time, at what time this was to be done; for the order of times is in the eternal wisdom of God without time.³⁹

Further in this chapter, Augustine is explaining that the sending of the Son can be perceived only by the eyes of the body, the Son received a visible body, and this is the main reason from whom it is said that the Son is sent and the Father is the one who is sending him. Though, in the act of the sending both Father and the Son participated equally, therefore the act of the sending has to be understood as an inside structure which is finding his existence in the spiritual nature, on which the human mind does not have a direct access. The different roles which each person from the Trinity are having are once again brought to the attention, due to the fact that the Son and the Father are having the same invisible substance, but only the Son is receiving the visible substance, thus the humans with the eyes of the body cannot see his invisible nature.⁴⁰

Augustine, in the chapters 6 and 7 of book 2, examines the forms of the Holy Spirit. As we have noticed, until this point, we do not know surely if the Holy Spirit is sharing the same invisible nature with the Father and the Son. The Holy Spirit did not receive the form of a servant, like the Son, but he appeared in form of a dove, fire or wind, thus the bishop of Hippo said previously that he was sent with

³⁷ AUGUSTINE, *On the Trinity*, 2, 5, 9.

³⁸ For a detailed discussion about the sending of the Son in the first books of *On the Trinity*, see M. T. CLARKE, in E. STUMP and N. KRETZMANN, *The Cambridge Companion to Augustine*, Cambridge University Press, 2001, pp. 93–94.

³⁹ AUGUSTINE, *On the Trinity*, 2, 5, 9.

⁴⁰ AUGUSTINE, *On the Trinity*, 2, 5, 9.

the Son. Aside, the difference between the Son and Holy Spirit in their appearance is the fact that the Holy Spirit changed his forms of appearance, but the Son remained in his human form. To fortify the distinction between the Son and the Holy Spirit, and the different manners in which the Holy Spirit appeared, Augustine wrote:

For the word in the flesh is one thing, and the Word made flesh is another"; *i.e.* the word in man is one thing, the Word that is man is another. For flesh is put for man, where it is said, "The Word was made flesh; and again, "And all flesh shall see the salvation of God." For it does not mean flesh without soul and without mind; but, "all flesh," is the same as if it were said, every man. The creature, then in which the Holy Spirit should appear, was not so taken, as that flesh and human form were taken, of the Virgin Mary⁴¹.

Though, even if, the Holy Spirit is capable to change his form of appearance, this does not mean that he is unchangeable, or that he is not sharing the same substance with the Father and the Son. In chapter 9th of book 2, Augustine is stating the entire Trinity is unchangeable, sharing the same invisible substance.⁴² Therefore, by following the Scriptural text, the bishop of Hippo, does not admit the changeable nature of the Son and the Holy Spirit. The book III of the treatise is finding his starting point by resuming again the discussion about the sending of the Son and the sending of the Holy Spirit, thus he is not interested to put a longer debate on it, in the same manner in which he did in the previous one.⁴³

Conclusion

In the beginning of the article we said that one of the mysteries of the Trinity is caused by the two forms of Christ, and we asked if all the humans are able to achieve the knowledge of the two forms. Augustine did not offer an exact answer, on how the two forms of Christ can be known by the humans, thus he proposed two methods of knowledge, the hermeneutical one and the epistemological one. Even if Augustine did not find an answer concerning the mystery of the Trinity, the methods which he proposed lead to the constitution of a dogmatic tradition. His treatise circulated throughout the Middle Ages and the later authors which were

⁴¹ AUGUSTINE, *On the Trinity*, 2, 6, 11.

⁴² AUGUSTINE, *On the Trinity*, 2, 9, 15.

⁴³ AUGUSTINE, *On the Trinity*, book 3, *Preface*.

putting a debate on the Trinity were finding in his treatise a starting point of their research, from Boethius' treatise *On the Trinity* to Peter Lombard's *Book of the Sentences* and its commentators.

The fact that Augustine presented in the beginning of his treatise the three categories of people can lead us to the assumption that perhaps Augustine was finding himself in each category before his conversion to Christianity. Therefore, due to the fact that he was formed first as a rhetor, is trying to explain all the erroneous judgments that he made before the conversion, by laying his attention on the Scriptural text. Even though in books 1-2 the hermeneutical model precedes the epistemological one, beginning with book 4, this order will be changed. In book 4, in a subtle manner, Augustine is trying to suggest us an example of contemplation, based on the epistemological knowledge, by saying:

For we ourselves, too, are not in this world, in respect to our grasping with the mind as far as we can that which is eternal, and the spirits of all the righteous are not in this world, even of those who are still living in the flesh, in so far as they have discernment in things divine.⁴⁴

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THE SOCIAL CONTRACT THEORY IN THE VISION OF JEAN-JACQUES ROUSSEAU

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ABSTRACT. *The social contract theory in the vision of Jean-Jacques Rousseau.*

Man is not social by nature, becoming social only under the influence of society. In the state of nature, man is solitary, autonomous, his own master. His only worry is to preserve his own life, to assure his necessities of living. With the formation of the first social groups (family), man no longer lives alone, starts to build a roof over his head, to assume certain responsibilities, to enter into communication with those around him, perfecting his language and improving his way of life. With such progress, self-esteem is born, pride, the need to be recognized by others as being superior. Differences in status tear apart the previous equality and lead to conflicts between individuals. Each desires what the other desires to have, not for the sake of that good's intrinsic value, but only because the other desires it. Therefore, in order to assure their own safety, as well as that of their property, men will form a covenant – the social contract.

Keywords: *social contract; state of nature; man in society; sovereign; general will; common good*

Introduction

Jean-Jacques Rousseau presented his social contract theory through two works, the *Discourse on the Origin and Basis of Inequality Among Men* (1755) and, respectively, the *Social Contract* (1762). Rousseau begins the exposition of his theory by presenting the characteristics pertaining to man living in a hypothesized state of nature prior to the existence and influence of society, an influence that – he infers – would have brought with it deep alterations to the nature of man by transforming him into a social being. Rousseau here uses what will become our common usage of the term “nature”, natural being that which is innately given, and not the classical Aristotelian conception of nature as finality: the vision about man

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as a political animal should be read in light of the immediately previous “[...] if the earlier forms of society are natural [the family, the village], so is the state, for it is the end of them, and the [completed] nature is the end. For what each thing is when fully developed, we call its nature, whether we are speaking of a man, a horse, or a family.”¹ A finalist conception of nature is inherently conservative – one may have argued that absolutist monarchy was natural because ordained by God – and this may be the reason for which Rousseau had to use the modern conception, refined through the development of natural law. The state of nature is an essential element of Rousseau’s political theory, used in evaluating the actual state of society.

The social contract is defined as “the means through which individuals, already possessing some rights and goods, constitute themselves into a sovereign body of citizens, whereby their rights and properties are being assured on a firmer basis, of a different nature”.² The distinct individuals unite their particular wills into a general will³ in order to protect their existence and the property on which their particular existence is sustained.

Rousseau’s theory is centered on the analysis of the legitimacy of political authority, a legitimacy derived from the mandate given through the social contract in order to safeguard the natural freedom of the citizens, a right to freedom justified on basis of natural law. The fundamental question is: “Man is born free, and everywhere he is in chains. Here’s one who thinks he is the master of others, yet he is more enslaved than they are. How did this change come about? I don’t know. What can make it legitimate? That’s a question that I think I can answer.”⁴ Pierre Manent synthesizes Rousseau’s thought on human nature with the following paragraph: “I am a man, therefore I am weak, I wish for a society in which doing good would come as naturally as feeding oneself; instead, I am seeing, in horror, a society where the only aspiration aims towards the human virtues, by which I mean the easy ones; whereas I dream of Sparta and Brutus.”⁵

Man in the state of nature

The starting point of the exposition of the social contract theory is represented by the definition and analysis of the state of nature and of the psychology of natural man, man living in such a state. Man is not social by nature, becoming

¹ Aristotle, *Politics*. 1252b8-9.

² Boucher (2008), 218.

³ The general will is “an ambiguous concept, created in order to reveal the real will of the citizens, transcending their selfish interests.” Boucher (2008), 218.

⁴ Rousseau (2008), 47.

⁵ Manent (2008), 156.

social only under the influence of society. The concept of the state of nature designates an anterior epoch, before the advent of human society, where formative social influences would have been absent. The state of nature functions as “an idea on the basis of which one can evaluate the actual condition of society and of international relations”.⁶ By analyzing man in the state of nature – from a physical point of view, and also metaphysically and morally – it may be revealed how he has evolved with the apparition of society, therefore the ways in which society influences the individual.

Natural man is considered by Rousseau as having been a “savage, robust man, agile and brave... armed with stones and sticks”⁷ – a being completely distinct from his civilized counterpart. The paradigmatic type of the savage man is represented by the Caribbean native of the Venezuela (of Rousseau’s time), who although had no other weapons than the bow and arrows, was unafraid of wild beasts, threading the forests without fear. “The nature of man is intrinsically good”⁸ – characterized him Rousseau from a moral point of view – society representing a corrupting influence. Man in the state of nature is described as possessing the traits of a normal human being, living in nature and contemplating it: always man has walked on two feet, had hands with which to interact with the world, eyes with which to “grasp with his sight the whole of nature, measuring the vast expanse of the sky”.⁹ He lived a solitary life, amongst the animals of the wild, a lonely being in his autonomy,¹⁰ depending on no one, recognizing no masters, having to care only for preserving his own life and to provide the necessities for it.

Natural man is described by Rousseau as “an animal less strong than some, less agile than others, but better organized than all. I see him appeasing his hunger under an oak, satiating his thirst with the waters of the first stream, finding his rest in the shadow of the tree that has nourished him; his needs have been fulfilled”.¹¹ His sight, hearing and sense of smell are well developed, the sense of touch and taste less so. Although man is considered as being an animal still, he is superior to all the others, a fact he himself realizes when he manages to capture and subdue or kill his quarry by using traps devised by his cunning.¹² In order to illustrate this superiority,

⁶ Boucher (2008), 220.

⁷ Rousseau (1958), 82.

⁸ Rousseau (1958), 18.

⁹ Rousseau (1958), 80.

¹⁰ “Each one may detach themselves from any others, without waiting on their consent.” Avramescu (1998), 162.

¹¹ Rousseau (1958), 80.

¹² “The savage man, living isolated amongst beasts and finding himself from early times in the situation of having to measure up with them, has soon realized the difference between him and the animals; seeing how he surpasses them more through cunning, cleverness, more than they surpass him through

Rousseau will highlight the differences between natural man and animal: man has cleverness, skill (contrary to the animal that only has strength), is ruled by both the self-preservation instinct and pity as fundamental principles informing his conduct even before having acceded to the possession and use of reason (whereas the animal only acts on instinct), has the capacity to better himself, is brave and does not easily shirk from fighting. The animals, although possessing greater strength, often choose to run away from a fight instead of facing their enemies, being dominated by instinct solely. The essential difference between man and animal is not that the former has the capacity to perfect himself, but that man has the freedom to choose whether to obey nature or fight it.¹³

Natural man is moved by desires and needs. These, as it was shown, are only those linked to the conservation of life, the acquiring of food and of the other necessities of living.¹⁴ He does not know of death yet, his own finitude doesn't present itself as a problem to him, but he will know it once he enters into society. If his hunger is satisfied, natural man will not attack other men, and if he needs to fight them for food "he will not resort to blows without first assessing the difficulty of finding nourishment elsewhere; since pride takes no part in this fight, it is all over after some punches have been pulled: the victor gets to eat, the looser goes away to find his luck, and all is in order".¹⁵ For procuring food, man practiced fishing and hunting, learning to become "an agile, quick runner, a virtuous fighter",¹⁶ since he was competing against wild animals and sometimes other men.¹⁷ Through such an evolution, man perfects himself, improving his lifestyle.

strength, he has learned not to be afraid anymore." Rousseau (1958), 82. "The savage man is more resourceful, he knows how to procure his nourishment, to cover himself with the fur of an animal when it is cold, uses his hands to assure his defense and the satisfaction of their needs." Rousseau (1958), 86.

¹³ "In any animal I see nothing other than an ingenious machine endowed by nature with sensibility in order that it may put itself in motion and defend itself, up to a certain point, from whatever tends to destroy or trouble it. In the human machine I see the same thing, with the difference that whereas in the animals' nature does all by itself, man takes a part in his own actions in his quality of free agent." Rousseau (1958), 87.

¹⁴ "His desires do not surpass his physical needs, the only desires he knows in the world are nourishment, a female and rest, the only evils he fears are pain and hunger." Rousseau (1958), 91.

¹⁵ Rousseau (1958), 170-171.

¹⁶ Rousseau (1958), 119.

¹⁷ "In the state of nature, man has a limited right to anything that attracts his fancy and which he intends to get." Boucher (2008), 230. "Along shores and rivers they have invented the fishing rod and the hook, becoming fishermen and fish-eaters. In the forests, they've made bows and arrows, becoming hunters and warriors." Rousseau (1958), 120.

Natural man is a sensitive being, letting himself be moved by a first natural humane feeling: pity. The sentiment of pity helps in the preservation of the species. It urges us to lend help to our peers and to give them no harm, lest they harm us back.¹⁸ At its basis lies the principle: "Assure your own good by giving others the least possible harm".¹⁹ This is the reason why in the state of nature there are no hectic quarrels between men and why each is concerned only by his own life. All the social virtues follow from pity – generosity, clemency, humaneness, goodwill – and communication between people is born out of it. The man that experiences pity suffers when he sees ill happening to another because he places himself in this other's place.²⁰ People in the state of nature are equal between themselves, and their actions are characterized by goodwill and innocence.

Man in society and the genesis of the social contract

Society appears at the moment when man develops a taste for owning things, of wanting certain things to belong exclusively to him. Private property is the cause both for the destruction of the primordial equality between individuals and for the birth of civil society.²¹ The birth of the desire and need for owning property is tied to the development of language. If at the beginning people used to communicate very little, through few sounds imitated after animal calls, in time, due to their increased proximity, their language started to develop.²²

The formation of social groups and the development of living in common helped with the perfecting of articulate language and, simultaneously, led to the generation of a multitude of needs.²³ The family is "the oldest among the social groups and the only one that is natural".²⁴ It endures united through a voluntary

¹⁸ "... makes us run without thinking to help those we see suffering." Boucher (2008), 109.

¹⁹ Rousseau (1958), 109.

²⁰ "Transposing us beyond ourselves by identification with the suffering other." Manent (2000), 176.

²¹ "The first man who, having fenced in a piece of land, said »This is mine«, and found people naïve enough to believe him, that man was the true founder of civil society. From how many crimes, wars, and murders, from how many horrors and misfortunes might not any one have saved mankind, by pulling up the stakes, or filling up the ditch, and crying to his fellows: Beware of listening to this impostor; you are undone if you once forget that the fruits of the earth belong to us all, and the earth itself to nobody." Rousseau (1958), 118.

²² "Men, who until now were wandering through the woods, by becoming more sedentary, slowly grew closer to one another, joining in different groups, and, at the end, formed in each land a distinct nation, united through habits and traits – not through rules and laws –, through the same way of life, mode of alimentation and the common influence of the same climate." Rousseau (1958), 125.

²³ In order to fulfill our needs we require other people, whereas in order to feel satisfied we only require ourselves (I really only wish for me to enjoy my victory, even if in gaining it I've needed the cooperation of others).

²⁴ Rousseau (2008), 48.

act (a convention): the children have to obey their father's authority until reaching adulthood, when they do no longer have need of paternal protection and become independent.²⁵ Rousseau considers that the state was modeled after the family: the sovereign embodying the image of the father, the people being as his children, needing his rule and protection. Nevertheless, he identifies a salient distinction between family and state: whereas, in the family, the father protects his children due to the love he feels towards them, in the state, the sovereign only acts favorably towards his subjects in order to continue enjoying the pleasure of ruling. Parental love emerges in the confines of the family, the habits are changing, as well as the way of life: the individual no longer has to face life alone, the man dealing with assuring nourishment, shelter, etc., while the woman usually raises the children.²⁶

The development of articulated language and of tighter-knit relations between people enables the apparition of feelings of self-esteem, pride, the need to be watched with admiration by the others.²⁷ Concerns about status start to weigh down on people, destroying the natural equality between individuals.²⁸ From inequality²⁹ the passions are born: contempt, shame, envy, cruelty, desires for glory and wealth.³⁰ People are no longer content with themselves, with their life, they do not feel even alive unless someone provides them with recognition, with appreciation.³¹

²⁵ "This common liberty is an upshot of the nature of man. His first law is to provide for his own preservation, his first cares are those he owes to himself; and as soon as he can think for himself he is the sole judge of the right way to take care of himself, which makes him his own master." Rousseau (2008), 49.

²⁶ "Each family has become as a little society, the more tightly knit the more reciprocal attachment and freedom constituted its only bonds. [...] Women have become more sedentary and used to guard the hut and the children, while the man was gone searching for the necessities of their common life." Rousseau (1958), 123.

²⁷ "Each one starts watching the others and wanting to be watched. Public esteem starts to be appreciated. The best singer or dancer, the most beautiful, most strong, most powerful, most skillful or most eloquent becomes the most esteemed." Rousseau (1958), 125.

"As soon as a man compares himself to the others, he necessarily becomes their enemy". Riley (2001), 30.

²⁸ "This is the first step towards inequality and, at the same time, towards vice." Rousseau (1958), 125.

²⁹ In *Discourse on the Arts and Sciences* (1750), Rousseau identifies in inequality the prime source of all evils, the gate through which they enter the world.

³⁰ "Similarly to the statue of Glaucus, which was disfigured by the weather, the sea, the storms to such a degree that it did no longer resemble a god but a fearsome beast, the human soul is altered inside society by thousands of causes that are ever born anew without respite... by changes happening to the constitutions of bodies and the continuous shock of passions, he is altered almost beyond recognition, and instead of a being that acts upon sure and immutable principles, instead of this celestial and majestic simplicity with which his creator has endowed him, we find nothing but the misshapen contrast of a passion that believes it can reason and of a delirious intellect." Avramescu (1998), 159. Society exerts a bad influence, man in society being under the sway of unbridled passions.

³¹ "They become aware of their own existence only through appreciation by the others." Boucher (2008), 222.

Man becomes dependent on the opinions of others, internalizes them, stops using his own reason and falls prey to vices/passions.³² Egoism, *amour propre*, the desire for recognition, the need to feel superior to the other, led to conflict between people and to the development of the sense of ownership, of a need to possess things in exclusivity. Man does not desire a thing for its inherent value, but because others want it too, in order to deny the others' desire and therefore to prove his superiority to them. Private wealth is an expression of such superiority, therefore is desired. Passions separate people, whereas need brings them closer to each other, because "the more we become enemies to our peers, the less we can dispense with them",³³ becoming dependent on them.

Private property, which has given birth to society, besides being a source of conflict between individuals, also leads to the formation of social classes (rich and poor)³⁴ and of the institution of slavery: the wealthy want to have dominion over society, to have power, while the poor are condemned to "toil, slavery and misery".³⁵ Slavery appeared because people became dependent on the opinion others had on them, and hence became easy to manipulate. Accepting to be a slave, a man renounces his freedom, thereby becoming less than human: he "renounces to his quality of being human, to the rights belonging properly to humanity and to the duties that accompany them".³⁶

In order to protect his freedom, the individual will have to enter into a covenant with the other citizens of the state.³⁷ This convention, in which the citizens enter freely, is the social pact or social contract.³⁸ The social contract is "a form of association that defends and protects with all the common force the person and property of every

³² "The sociable man, always outside of himself knows how to live only in the opinion of others; and it is so to speak, from their judgment alone that he draws the sentiment of his own existence." Riley (2001), 66.

"In this context, men and women, driven by pride, acquire the character traits and values of those with whom they live together in society, being unable to reach awareness of their own inclination towards virtue and morality. Reason and conscience are unable to influence the formation of their character, letting them fall victims to the general egoism." Boucher (2008), 223.

³³ Manent (2000), 169.

³⁴ "Some toil, while others rule: it is the nature of things." Geledan (2007), 359.

³⁵ Boucher (2008), 222.

³⁶ Rousseau (2008), 55.

³⁷ "The primitive state cannot exist anymore, and the whole human race would perish if it doesn't change its way of life. And, as men cannot create new forces, and only one rules those existing, they have no other means to preserve themselves than to form through aggregation a sum of forces capable to defeat the resistance, to put them into motion through a sole mobile and to make them work together. Such a sum of forces cannot be generated but through the union of many." Rousseau (2008), 61.

³⁸ "The social contract is a synthesis of force and freedom, a synthesis that has become necessary due to the pressure of natural necessities." Manent (2000), 188.

associate, and which, while uniting all, enables everyone to remain as free as before, obeying only his own will”³⁹. Through the institution of the social contract, the individual who becomes thus citizen, cedes his initial rights (thereby all becoming equal with regards to their individual condition, each having the same rights and duties as any other),⁴⁰ his natural freedom, gaining instead a conventional type of freedom, and a guarantee for the protection of each individual's person and property. Although he gives up on certain advantages (as is his natural freedom, the fact of being one's own master, not depending on any other), he gains others instead: security, protection, equality in rights and duties, civil freedom, the guarantee of the right of property over his possessions,⁴¹ moral freedom. The purpose of the contract is “the preservation of the contractors”,⁴² their protection, the elimination of conflict between them, and also the finding of a form of association that preserves the freedom of people while also protecting them and their property. The essence of the social contract is the commitment, assumed by each person taking part in it, to “place in common his person and all his power under the supreme command of the general will; and we shall recognize each member as an indivisible part of the whole”.⁴³

With the forming of the social contract and of society as such, the individual passes from the state of nature into the civil state, becoming a member of the political body and, therefore, lending morality and rationality to his actions.⁴⁴ The general will⁴⁵ is formed by the consent through which the citizens are uniting their wills. It becomes the fundamental law, considered always right, and all people are obliged to respect it.⁴⁶ Obeying the general will means obeying one's own will, since the general will is the resultant of the particular wills of all the citizens aiming towards

³⁹ Rousseau (2008), 17.

⁴⁰ “They all commit under the same conditions and must enjoy the same rights.” Rousseau, (2008), 81.

⁴¹ In order to be able to claim the right of property over some piece of land, one must be sure that that land was previously free, unoccupied, it must not be extremely large, and the most salient criteria is that the individual claiming the land be able and willing to work it.

⁴² Rousseau (2008), 84.

⁴³ Rousseau (2008), 62.

⁴⁴ “[...] from a stupid and limited beast [...] becomes an intelligent being and a man.” Rousseau (2008), 66.

“Each individual, as an indivisible part of the whole, continues to exercise his rights and to be subject unto no one but himself, without being under the tutelage of any higher power. As citizen, therefore as member of the political body, he is directly involved in the public problems.” Nay (2008), 339.

⁴⁵ Rousseau distinguishes between the general will and the will of all. General will intends to fulfill the common interest, representing the sum of differences between the opposing particular wills regarding the common interest, whereas the will of all represents the sum of particular wills that intend only their particular interests.

⁴⁶ “The pact is concluded between each one's freedom and the body that this pact is on the way of constituting, between the will of each and the general will.” Manent (2000), 188.

the common good. Only general will may enable a well-established society, aiming towards the fulfillment of the common good, utility and justice, “the common survival and general wellbeing”.⁴⁷ In their turn, the contractors have the duty of obeying the pact and the laws established by the general will. Failing to do so, they will be declared enemies, stripped of their citizenship, exiled or killed. Rousseau considers that the institution of the social contract enables society to become “free and equal”.⁴⁸

Sovereignty is necessary for society, it is the key element of the pact, since “if there were no superior power to stand guarantee for the fidelity of the contractors and to force them to fulfill their reciprocal obligations, the contracting parties would have remained sole judges in their own causes and each would have had the right to unilaterally renounce the contract the moment it had the impression that another party had breached its conditions or when these conditions no longer suited its interests”.⁴⁹ The sovereign power must rule over the citizens, must settle the conflicts between them and must maintain the peace and safety of the society. The sovereign necessarily has an exterior position with regard to the citizens, in the sense that the sovereign does not constitute a party of the social contract, this enabling him to administer justice impartially, having no reason not to consider all subjects as equal among themselves. The sovereign is not a physical person, but the indivisible collective body (the political body), formed by the citizens and deriving its essence from the social contract to which they had agreed.

The sovereign does not have to offer any guarantee to its subjects, since “it is impossible that a body should harm all of its members”,⁵⁰ and his actions are directed entirely by the general will. Each citizen is a part of the sovereign. Its power, legitimized on the basis of the social pact, is “entirely absolute, sacred and inviolable”.⁵¹ The main duties of the sovereign are: to consider all its subjects as equal, to use its power in the direction intended by the constituents of the social pact, to always aim towards the fulfillment of the general interest instead of any particular one.

The rights belonging to the sovereign include: the sovereign is above the law, it must apply the law, it has the right to punish those that break the law, to grant pardon or absolve from punishment; the will of the political body (the will of the sovereign) is to be considered as being always right, since it is the source of all right, the legislative will. The will of the sovereign is consubstantial with the general

⁴⁷ Rousseau (2008), 165.

⁴⁸ Geledan (2007), 360.

⁴⁹ Rousseau (1958), 147.

⁵⁰ Rousseau (2008), 64.

⁵¹ Rousseau (2008), 82.

will, being formed by the sum of the citizens' wills intending the common good.⁵² There still arises an apparently paradoxical problem here – although the right over life and death is not transferable, nevertheless the sovereign has such a right: “We may ask ourselves how it is possible that particulars, whom themselves do not possess the right of disposing with their own life, may transfer to the sovereign this right they do not possess? The question seems difficult only because it is erroneously formulated. Any man has the right of risking his own life with the intention of preserving it”⁵³ (man indeed does not have right over life and death, but does have the natural right to protect his own life).

The general will finds its application in the law. The law is an act of the general will, therefore the question of the possibility of an unjust law is irrelevant. Since the collective body of the citizens is sovereign, it is this body that generates the law, therefore doubting its justice means doubting our own will. Legislative power is defined as “the heart of the state”,⁵⁴ whereas the executive is its “brain”.⁵⁵ Without law there can be no civil association, no order in society. The object of the laws is always general: before the law all citizens should be equals and the law addresses them as an unitary whole. When a law is proposed, in the assembly of the people, it is the task of citizens to approve or reject it, deciding if it conforms to the general will.

Laws are necessary because common men, although always intending the common good, but living under the sway of passions, cannot clearly understand where exactly lies the common good, and hence they cannot, by themselves, fulfill the general will.⁵⁶ To address this issue, the action of a legislator becomes necessary. The legislator serves as a guide to the people, having the role to create the constitutional framework, to show the people the path towards the realization of the common good. The common good may be correctly identified by the correspondence with its two defining principles: freedom and equality.⁵⁷ In the state, the authority of the law – and hence also the prestige of the legislator – should be supreme, such as that of God, so that “people will feel, when subjected to the [authority of the] state,

⁵² “The constant will of all the members of the state is the general will; by virtue of it they are citizens and free.” Rousseau (2008), 170.

⁵³ Avramescu (1998), 201.

⁵⁴ Rousseau (2008), 149.

⁵⁵ Rousseau (2008), 149.

⁵⁶ “The people always intends well, but, after its strengths, it doesn't always discern right.” Rousseau (2008), 90.

⁵⁷ “No citizen should be so opulent that he may buy another, and no one so poor that he has to sell himself.” Rousseau (2008), 106.

that they obey a divine law”.⁵⁸ Before enacting a law, the legislator must first clearly establish its purpose and its basis, in order to preclude any possible confusions,⁵⁹ to verify whether the law truly corresponds to the general will, and whether the people are indeed able to uphold it. If a law is bad, the people, as sovereign, has the power to change it. All laws are divided into political laws, civil laws, penal laws and those laws that are imprinted in the hearts of the citizens. Political laws are the fundamental laws of the state, standing at the basis of the state-sovereign relationship and determining the form the government takes – these laws are the only ones that are relative according to Rousseau. Civil laws underlie the relationships the members of the political body have between themselves and respectively with the political body in itself: the citizens should be dependent on the state and independent with respect to each other. Penal laws underlie the relationship people have with the law as such, manifesting the sovereign, mandatory aspect of the law. The laws that are engraved in people’s hearts – morality, customs, public opinion – constitute the forces that ultimately shape the construction and destiny of the state.

Between the sovereign and its subjects there is an intermediate body, the government, whose purpose is to execute the laws and to safeguard civil and political freedom. The action of government is defined as the “supreme administration”,⁶⁰ “the legitimate exercise of executive power”,⁶¹ “a moral person endowed with certain faculties, active as the sovereign, passive as the state”.⁶² Its task is to transmit to the people the orders it has received from the sovereign, assuring their execution. Between sovereign and government there exists a clear hierarchy. The source of the government's power is the sovereign. In order to exist, the body of the government needs a representative, a head of government embodied in a single person, who is the prince. The government is composed from kings, governors, magistrates (civil servants). The magistrate body (the bureaucratic apparatus of the state) may be formed from a larger or smaller number of members, but the higher their number, the weaker is the state.

⁵⁸ Boucher (2008), 227.

⁵⁹ “But if the legislator, having mistaken his purpose, adopts a different principle from that which flows from the nature of things, so that one tends towards servitude, while another tends towards freedom, one towards wealth, while another towards the increase of the population, one towards peace, while the other towards conquest, we shall see that the laws are gradually weakening, the constitution is altered, and the state is overtaken by turmoil, without respite, until either it is destroyed or changed, and invincible nature enters again in its sovereign rights.” Rousseau (2008), 108.

⁶⁰ Rousseau (2008), 112.

⁶¹ Rousseau (2008), 112.

⁶² Rousseau (2008), 115.

A magistrate embodies three kinds of wills: his own individual, particular will that aims towards the advancement of his personal advantage, the will that is common to the magistrate body that aims towards the advancement of the prince's advantage, and respectively the sovereign will of the people, that is the general will, which provides legitimacy to the actions of government. In an ideal government, particular will ought to have no place, the will of the magistrate body ought to be subjected to that of the government, and the general will ought to be supreme. By joining government with the legislative authority, the prince becomes sovereign, the citizens become magistrates, the will of the magistrate body becomes the general will and the particular will remains free. The magistrature links the prince to the sovereign, safeguards the law and the legislative power, without being a part of the state, without having either legislative or executive power – it owns nothing but may stop everything.

Conclusion

Rousseau discussed the idea of the social contract in two of his works, in *Discourse on the Origin and Basis of Inequality Among Men* (1755) and, respectively, the *Social Contract* (1762). Their scope was to investigate the origin of right, to “clarify the problem of the nature and legitimacy of political power in general”.⁶³ Similarly with the approach adopted by Hobbes, in order to reach the stage where society and the social contract are formed, Rousseau starts his analysis from a state of nature, in which all individuals are equal. The state of nature constitutes the background against which the constituted society may be evaluated. Natural man, considered as being in his nature, is completely different from social man – society exerts strong influence on the character of the human being, altering it radically from what it was in the state of nature. In the state of nature, man is solitary, autonomous, completely his own master. His only worry is to preserve his own life, to assure his necessities of living, reason for which man becomes a fisherman or a hunter, evolution through which natural man begins to perfect himself. Rousseau considers that in the state of nature man was a sensitive being (altogether different from the brute envisioned by Hobbes), endowed with a first natural feeling, pity, which has a definite import in the conservation of the species. From pity the most noble of virtues will be derived: good will, generosity, humaneness.

With the formation of the first social groups (family), man no longer lives alone, starts to build a roof over his head, to assume certain responsibilities (the man had to provide the food necessary for the family, the woman to raise their children),

⁶³ Rousseau (2008), 7.

to enter into communication with those around him, perfecting his language and improving his way of life. With such progress, self-esteem is born, pride, the need to be recognized by others as being superior. Differences in status tear apart the previous equality and lead to conflicts between individuals, driven by violent passions, all rooted in pride: desire for glory, for wealth, scorn and envy directed towards others. Chained by these passions, man becomes a passionate social being, losing his autonomy, his self-esteem in thrall to the opinion of others. Each desires what the other desires to have, not for the sake of that good's intrinsic value, but only because the other desires it. Obtaining that good before the other does, perhaps even succeeding to barr the other's access to it, will make him feel superior to the other. Property, besides leading, as it was shown, to conflict between people, also is the source of differentiation in social classes – the wealthy and the poor – and of slavery. Slavery is considered by Rousseau as unlawful, incompatible with human nature, because the natural human right to freedom is inalienable, man is always his own master, and without his consent no one has the right to claim him as slave.

Therefore, in order to assure their own safety, as well as that of their property, men will form a covenant – the social contract. The social contract is a form of association, intended to protect the individual and his property, man remaining as free as before, with the difference that now his natural freedom is replaced by a civil one. The social contract legitimizes property, the individuals becoming members of a political body, as citizens involved in the political problems of the state. The essence of this pact lies in the summation of the individual wills of the citizens, generating the general will, which all citizens are bound to respect. This will is the will of the sovereign – a collective, indivisible being, legitimated by the contract. The sovereign is necessary for maintaining peace and order in society. He is exterior to the contract, not being a party to it. The function of the sovereign is subsumed by his duties and rights: the obligation to consider all citizens as equals, the right to be above the law, the right of punishing those breaking the law.

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UNE FIGURE OUBLIÉE DE L'EXIL ROUMAIN: LUC BADESCO

SERES SÁNDOR*

ABSTRACT. A Forgotten Figure of the Romanian Exile: Luc Badesco. Luc Badesco's name is not among those generally retained by those who dealt with the Romanian cultural exile in France in the last century. References to this literary historian, who became the first Romanian professor of French literature at the University of Sorbonne, are rare. He became known through his research in the field of French literature, but his presence in the specific activities of the Romanian exile was quite low, which explains the lack of interest of the Romanian researchers towards his personality and his work. I am trying to bring some light on less known aspects of his work in France, insisting on the role he played in the life of prominent figures of Romanian exile, like Emil Cioran, Virgil Ierunca and Mircea Eliade.

Keywords: *Luc Badesco, Emil Cioran, Virgil Ierunca, literary history, Romanian exile*

Luc Badesco (Lucian Bădescu) a été l'une des personnalités distinguées de l'exil littéraire roumain de la France au siècle dernier. Il était connu comme historien littéraire, apprécié dans le monde académique pour ses recherches, et devint le premier professeur roumain de littérature française à la Sorbonne. Cependant, son travail est mal connu. Les témoignages sur lui sont assez rares, le principal mérite pour préserver sa mémoire appartenant à Virgil Ierunca. C'est grâce à lui qu'on peut reconstituer une partie de l'activité – et surtout de la personnalité de Luc Badesco.

Insuffisamment recherchée, sa biographie présente encore assez de lacunes. Florin Manolescu, dans son *Encyclopédie de l'exil littéraire roumain* (Enciclopedia exilului literar românesc), autrement fort bien documentée, ne lui consacre que quelques lignes, se contentant de mettre en lumière les principaux aspects de sa biographie.¹ Après un examen attentif, des problèmes surgissent à la fois en ce qui

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¹ On peut trouver d'autres informations sur Luc Badesco dans le livre de Lucian Nastasă-Kovács, *Studentii români la École Pratique des Hautes Études (Section des Sciences Historiques et Philologiques): 1868-1948*, Școala Ardeleană, Cluj-Napoca – Eikon, București, 2016.

concerne l'année de sa naissance – 1914, et le lieu – ce dernier n'étant mentionné nulle part. Suite à une recherche approfondie, j'ai trouvé une seule source à considérer à cet égard – à savoir, le registre des étudiants de l'École Pratique des Hautes Études à Paris, où Badesco avait été inscrit entre 1938 et 1942. Dans les listes de ces années, j'ai trouvé à côté de son nom la mention qu'il est né à Crevedia – Bucarest.²

Dans le même document on trouve également l'année de sa naissance: ce n'est pas 1914, comme on l'affirme dans les autres sources disponibles, mais 1910. En effet, il n'y a pas de preuve claire pour 1914 comme année de sa naissance; je suppose que cette année a été obtenue par déduction du témoignage de Monica Lovinescu, qui soutenait que Luc Badesco aurait eu 65 ans au moment de sa mort en 1979.³ Cependant, il faut garder à l'esprit que s'il était né en 1914, il serait devenu professeur à l'âge de 20 ans; car en 1934, il avait déjà terminé ses études à la Faculté des Lettres de Bucarest, étant nommé professeur au lycée „Alexandru Lahovari” à Râmnicu Vâlcea. Et si l'on considère qu'il était collègue au Collège National „Sfântul Sava” de Bucarest avec Eugène Ionesco, né en 1909, l'année 1910 s'impose comme date de naissance de Badesco, comme il apparaît dans les registres de l'École Pratique des Hautes Études.

Alors qu'il était professeur à Râmnicu Valcea, en Roumanie, l'un de ses élèves était Virgil Ierunca. Pour lui, comme pour certains de ses collègues de lycée, Luc Badesco était „un vrai dieu”,⁴ éveillant son appétit pour la littérature universelle, notamment française. L'admiration pour son professeur était si grande qu'à son arrivée à Paris, Badesco serait la première personne qu'il contacterait, reliant peu à peu avec lui une amitié proche.

Certaines sources signalent son départ pour la France en 1937, d'autres en 1939. Il était certainement à Paris en 1938 et s'inscrit à l'École Pratique des Hautes Études pour l'année scolaire 1938-1939, comme en témoignent les registres.⁵ Au cours de ces années, il bénéficie d'une bourse accordée par l'École Roumaine de Fontenay-aux-Roses, située près de Paris. Cette institution a été établie en 1922, par décret royal, en même temps que l'Académie Roumaine à Rome, continuant à fonctionner jusqu'en 1947, quand elle a été abolie par les autorités communistes. Grâce à de bonnes relations avec Constantin Marinescu, qui fut nommé directeur en 1941,

² *Liste des élèves et auditeurs réguliers pendant les années scolaires 1941-1942 et 1942-1943*, document consulté sur l'internet, à l'adresse

https://www.persee.fr/doc/ephe_0000-0001_1942_num_1_1_3806, le 21.04.2018.

³ Monica Lovinescu, *La apa Vavilonului*, Humanitas, București, 1999, p. 113.

⁴ Virgil Ierunca, *Trecut-au anii...*, Humanitas, București, 2000, p. 9.

⁵ *Liste des élèves et auditeurs réguliers pendant les années scolaires 1938-1939*, document consulté sur l'internet, à l'adresse

https://www.persee.fr/doc/ephe_0000-0001_1939_num_1_1_3684, le 21.04.2018.

Badesco reçut le statut d'administrateur temporaire de l'école, poste d'autant plus important que le directeur Marinescu professait pendant ce temps à l'Université de Cluj.

Dans ce contexte, il est très plausible de supposer que Badesco a joué un rôle dans l'obtention par Emil Cioran d'une nouvelle bourse au cours de la Seconde Guerre mondiale. Il convient de rappeler ici que, contrairement aux informations généralement acceptées par la plupart des spécialistes, la bourse que Cioran reçut en 1937 du directeur de l'Institut français de Bucarest, Alphonse Dupront, grâce à laquelle il est parvenu en France, n'a pas été prolongée au-delà de l'année 1940. Ayant obtenu en 1941 la nomination en tant que conseiller culturel à l'ambassade de Roumanie à Vichy, Cioran a été renvoyé après seulement trois mois; sans aucun revenu, son avenir à Paris était devenu incertain. Il a été sauvé justement par cette nouvelle bourse de L'École Roumaine de Fontenay-aux-Roses, qu'il a reçue à partir de l'automne 1942 jusqu'en 1944.⁶ Mais ce ne fut pas la seule fois que Badesco ait aidé Cioran, avec qui, d'ailleurs, il a gardé une relation assez étroite jusqu'à la fin de sa vie.

Pendant la guerre, Luc Badesco a été correspondant pour le journal *Timpul*, fait sur lequel témoigne Virgil Ierunca. Celui-ci était à l'époque journaliste à Bucarest et c'est lui qui traduisait les articles envoyés par Badesco de Paris, écrits dans un français impeccable.⁷ Une chose peu connue est que Luc Badesco est parmi les rares Roumains qui ont publié dans la presse française pendant la Seconde Guerre mondiale.

Luca Pițu est le premier à signaler qu'en 1942, Badesco a fait paraître un article sur Constantin Brâncuși dans la revue *Comoedia*. Pițu a suivi les traces de cet article, sans le retrouver.⁸ A la suite des déclarations de Luca Pițu, j'ai découvert en effet dans la collection de *Comoedia* le texte de 1942 sur Brâncuși, publié le 7 Mars, l'article étant signé Lucien Badesco⁹ (il utilisera désormais le nom Luc Badesco pour écrire en français). Mais ce n'est pas sa seule contribution; il a également publié une série d'articles sur la culture et la spiritualité roumaine dans la page „Connaître l'Europe”, que l'hebdomadaire *Comoedia* consacrait à la culture européenne. Les sujets abordés dans ces articles sont des plus divers: „La satire sociale dans la comédie roumaine” (le 6 et le 13 juin), „Michel Sadovéano” (29 août), „L'architecture religieuse en Roumanie” (17 octobre), „Églises de Roumanie” (24 octobre) – tous en 1942; l'année suivante il publie un autre article, intitulé „Un grand écrivain roumain – Bogdan-Pétriceico Hasdeu” (20 février). Il faut dire que la revue *Comoedia* payait ces contributions avec générosité, grâce au soutien financier des autorités allemandes et à sa diffusion qui atteignait alors 45.000 exemplaires.

⁶ A voir Irina Nastasă, „Emil Cioran – Precizări biografice”, dans *Tribuna*, no 181/2010.

⁷ Virgil Ierunca, op. cit., p. 10.

⁸ Luca Pițu, „Istoria unei textule eminescologice”, dans *Bucovina literară*, no 1-2/2015, p. 50.

⁹ J'ai publié la traduction de cet article dans la revue *Familia*, no 7-8/2015.

Il convient également de mentionner que c'est ici que Emil Cioran a publié ses premiers textes en français. Son article „Mihail Eminesco” est paru le 16 janvier 1943, suivi par „Les secrets de l'âme roumaine, le »DOR« ou la nostalgie”, un peu plus tard, le 4 septembre. La longue série d'articles publiés par Luc Badesco dans *Comoedia* montre qu'il était en bonnes relations avec la revue. Nous pouvons donc souscrire, sans craindre de nous tromper, à la supposition avancée par Luca Pițu selon laquelle c'était précisément Badesco qui a facilité la publication des deux articles écrits par Cioran en 1943.

Dans les notes de journal de Ierunca, ainsi que dans les articles qu'il a publiés au sujet de son bon ami, on trouve beaucoup d'informations et de détails qui contournent la personnalité de Luc Badesco. Il semble cependant que Ierunca n'avait pas connaissance de ses articles parus dans *Comoedia*, affirmant que Badesco avait écrit son premier article en français en 1958, à la demande de Jean-Louis Barrault, lorsque celui-ci monta *La Vie Parisienne* après Offenbach.¹⁰ Ierunca note cependant que même si Luc Badesco ne supportait pas d'écouter ce genre de musique, il a réalisé une étude très bien documentée du travail d'Offenbach. Cette étude, intitulée „Une épopée tournant à la mascarade”, n'est pas parue dans une publication académique, mais dans le numéro 24 des *Cahiers Renaud – Barrault*, édités par le célèbre acteur et metteur en scène avec son épouse.

L'érudition était, en fait, une caractéristique essentielle de Badesco. L'un des résultats des innombrables heures passées dans les bibliothèques, fouillant les publications les plus obscures, est la découverte d'une version inconnue du poème de Baudelaire *Le Vin des chiffonniers*, en effet la première version du poème publié dans *Les Fleurs du mal*, qu'il avait trouvée dans un almanach de 1854 dédié à la vinification, *Jean Raisin*. L'article qu'il a écrit suite à cette découverte est „Baudelaire et la revue *Jean Raisin*: la première publication du *Vin des chiffonniers*”. Il a été publié en 1957, dans le numéro de janvier-mars de la *Revue des Sciences Humaines*, à l'occasion du centenaire des *Fleurs du mal*. Sa découverte a fait une grande impression parmi les spécialistes; plusieurs articles ont été publiés à cette occasion, et elle est souvent citée dans des livres et des thèses de doctorat sur Baudelaire.

Grâce à cet article, Luc Badesco est devenu connu dans les milieux universitaires de Paris, obtenant à la suite un poste de chercheur au Centre National de la Recherche Scientifique. Il aura ainsi la possibilité de commencer le travail sur sa thèse de doctorat, devenant ensuite professeur de littérature française à la Sorbonne. Son caractère indomptable, aux accents tempéramentaux chaque fois qu'il était en jeu la vérité, est soulignée par Monica Lovinescu dans ses mémoires. Elle nous raconte une scène devenue presque légendaire, le moment du soutien par Luc Badesco de sa thèse:

¹⁰ Virgil Ierunca, „Lucian Bădescu”, dans *Subiect și predicat*, București, Ed. Humanitas, 1993, p. 48.

Quand il a défendu sa thèse de doctorat à la Sorbonne, *La Génération poétique de 1860*, contredisant les thèses généralement acceptées, il admonestait ses professeurs du jury – attitude sans précédent durant une telle cérémonie, quand on doit écouter résigné, et si possible, avec un sourire respectueux sur ses lèvres, des critiques qui font également partie du rituel, et on doit répondre poliment, sans soutenir acharnement son point de vue. Luc avait des amis dans le jury, les tutoyant comme au café, répondant violemment à toute observation. Dans la pause, nous avons dû attirer son attention de toute urgence: je ne me souviens pas qu'il soit devenu plus calme dans la deuxième partie. Ce fut un soutien mémorable à travers l'attitude scandaleuse du doctorant. Mais aussi à travers l'originalité de ses idées qui ont fini par s'imposer.¹¹

Sa thèse, qui a été publiée seulement en 1971,¹² est un ouvrage de référence, souvent cité par les chercheurs qui s'intéressent à la poésie française du XIXe siècle. Elle traite des auteurs appartenant au courant parnassien, comme Villiers de l'Isle-Adam, Catulle Mendès ou Leconte de Lisle, insistant sur l'arrière-scène sociale, culturelle et politique qui a rendu possible l'apparition de grands poètes comme Baudelaire, Rimbaud ou Mallarmé. C'est un ouvrage massif en deux volumes totalisant 1.400 pages, dont Virgil Ierunca écrit que c'est „le roman d'une génération assurant le passage d'un moment riche du passé vers un temps plus riche même de l'avenir, car derrière Mendès on aperçoit Villiers, derrière Ricard, Verlaine et des Essarts, Mallarmé”.¹³ C'est toujours lui qui souligne, à côté de „l'érudition terrifiante” la rigueur, l'effort d'objectivité et l'irreprochable honnêteté intellectuelle de Luc Badesco.

Cette honnêteté, accompagnée d'un respect inébranlable pour la vérité, a pu être vérifiée aussi à une autre occasion. Publiant en 1963 un article sur les débuts littéraires d'Alphonse Daudet („Les Débuts parisiens d'Alphonse Daudet. Légende et vérité”), dans la prestigieuse *Revue d'Histoire littéraire de la France*, Badesco s'est confronté avec la véhémence contestataire de Jacques-Henry Bornecque, auteur d'une célèbre thèse sur les années d'apprentissage de Daudet. Bornecque l'avait accusé, en termes durs, d'avoir maculé la mémoire de Daudet, en le traitant sans révérence. Dans sa réponse, publiée dans le même numéro dans lequel est paru l'article de Bornecque, Badesco a apporté non seulement de bons arguments à l'appui de sa position, mais il a également souligné un fait qui pour lui était une véritable profession de foi: „l'historien de la littérature n'a pas à se préoccuper de la mémoire d'un écrivain, mais de la vérité historique, dût cette mémoire en souffrir”.¹⁴

¹¹ Monica Lovinescu, *La apa Vavilonului*, Humanitas, București, 1999, p. 113.

¹² Le titre complet de la thèse est: *La Génération poétique de 1860. La Jeunesse des deux rives. Milieux d'avantgarde et mouvements littéraires. Les oeuvres et les hommes*, I-II, Paris, A. G. Nizet, 1971.

¹³ Virgil Ierunca, op. cit., p. 51.

¹⁴ Jacques-Henry Bornecque, Luc Badesco, „Autour d'Alphonse Daudet. Controverse”, dans *Revue d'Histoire littéraire de la France*, année 64, no 3 (juillet - septembre), 1964, p. 478.

Après des articles d'histoire littéraire qu'il avait publié dans les revues françaises, Luc Badesco a collaboré aussi aux revues de l'exil roumain. Il se trouvait dans l'entourage de Mircea Eliade pendant la période quand celui-ci publiait la première revue de l'exil roumain, *Lucefărul*, participant avec Virgil Ierunca aux séances éditoriales. Au cours de la même période, il participe aux réunions du cercle littéraire du café Corona. Il a publié plusieurs articles dans les revues initiées plus tard par Virgil Ierunca, écrivant surtout sur les membres de la Génération '27: Emil Cioran (dans *Caete de dor*, no 12, 1959), Mircea Eliade („La Nostalgie des origines”, dans *Limite*, no 8, 1971), ou Mircea Vulcănescu (dans *Ethos*, no 1, 1973). Toujours à Luc Badesco est due la traduction française du premier volume du journal d'Eliade, *Fragments d'un journal*, qui a été publié en 1973 chez Gallimard.

Souffrant de cancer, Luc Badesco est mort en 1979. C'est ainsi que Cioran l'évoque dans une lettre adressée à Arșavir Acterian:

Luc Badesco a vécu une vie qui ne pouvait pas être plus calme. Il a eu une bourse importante qui lui a permis d'étudier pendant quinze ans (!): presque comme un rentier. Parfois, je l'ai entendu se lamenter de l'isolement dans lequel ils vivaient, du fait qu'il était complètement inconnu: je lui ai dit qu'il ne savait pas comment il était heureux, mille fois plus heureux que Eugen qui était son collègue au Lycée Sava. Trois jours avant sa mort, il me parlait de ses projets. Il ne savait pas qu'il avait le cancer et en l'écoutant à l'hôpital parlant des plans futurs, je me disais que l'illusion est innée au mortel et que, après tout, peu importe si on a encore trois jours ou trente ans à vivre.¹⁵

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¹⁵ Emil Cioran, *Scrisori către cei de-acasă*, Humanitas, București, 1995, p. 232.

LE CONCEPT DE TRANSCENDANCE CHEZ GABRIEL MARCEL ET PIERRE BOUTANG

PAUL MERCIER*

ABSTRACT. The concept of Transcendence in Gabriel Marcel and Pierre Boutang.

This article intends to explore the concept of Transcendence in Gabriel Marcel and Pierre Boutang's writings. In philosophy Transcendence is usually seen as a kind of "sphere" that creates a contact between humankind and divinity, or as surpassing oneself. Contrariwise, Gabriel Marcel and Pierre Boutang show that transcendence draws a "path" that the "Christian viator" – a notion explained throughout this article – has to take using the concepts of Mystery with Gabriel Marcel and Secret with Pierre Boutang, in order to achieve salvation.

Keywords: *Marcel, Boutang, transcendence, viator, secret*

Quelles contributions pourraient apporter Gabriel Marcel et Pierre Boutang au concept de transcendance? N'oublions pas que les deux auteurs, et surtout le premier, écrivent à une époque où „transcendance” signifie „dépassement de soi”, du moins en philosophie. Ici, c'est surtout Jean-Paul Sartre qui est visé. Or, le Transcendant indique l'idée d'un dépassement accompagné de l'analogie de la hauteur, c'est-à-dire d'une progression vers le divin. En est-il de même avec les pensées de Gabriel Marcel et Pierre Boutang? Que pourraient apporter les deux auteurs à ce concept classique?

Les deux auteurs écrivent en effet contre un „monde cassé” où le sujet ne peut plus retrouver ses assises existentielles. C'est l'immanence de mon expérience dans le monde, bien plus que la transcendance de ce monde, qui se trouve dès lors menacée. Par conséquent, le souci de la transcendance équivaldrait à celui de l'immanence, c'est-à-dire que la modernité, qui est parvenu à occire les mystères et les secrets du cosmos, offre une immanence fallacieuse à ma propre expérience.

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C'est ainsi que nous allons étudier de quelle manière aussi bien Gabriel Marcel que Pierre Boutang proposent de dessiner la transcendance comme „chemin” que doit emprunter *l'homo viator* pour épouser une reconfiguration de l'écclésiété, permettant ainsi au sujet d'entrer sur la voie de la participation.

I. La Transcendance comme parcours du viator chez Marcel

Gabriel Marcel reproche à trois siècles de philosophie d'avoir „désacralisé le monde”. Et cette désacralisation se traduit par un amalgame sur le mot transcendance:

„Rien n'est d'ailleurs plus caractéristique que l'avalissement du mot sublime de transcendance chez les philosophes les plus récents. Il est pris dans l'acception tout à fait commune de dépassement – comme s'il n'y avait pas à distinguer un dépassement horizontal et un dépassement vertical, comme si ce n'était pas à ce second type de dépassement que le mot transcendance a, dans le passé, toujours été réservé.”¹

La désacralisation du monde engendre ainsi la sacralisation de soi (à la limite, la divinisation de tel ou tel homme), c'est-à-dire un dépassement horizontal que déplore Gabriel Marcel.² Mais comment caractériser la transcendance verticale, et pourquoi serait-ce nécessaire?

N'oublions pas que Gabriel Marcel essaye de trouver une solution face au désespoir du monde dans lequel nous vivons, le „monde cassé” caractérisé par des liens surfaits, de surface, qu'entretiennent non seulement les hommes avec le monde, mais aussi entre les hommes eux-mêmes.³ Finalement, c'est l'homme comme son propre centre qui se perd. Retrouver la Transcendance pour se réconcilier avec Soi, le Monde, les autres et Dieu, voici ce que tente d'opérer le geste marcellien – tout naturellement dans l'optique d'un salut. Tout d'abord, il lui faut dépasser tout aussi bien l'objectivité de la science que la subjectivité des opinions afin d'atteindre un „immédiat médiatisable” au fondement de notre expérience sensible. Mais nous ne pouvons atteindre cette expérience première du sentir que par une transcendance

¹ Gabriel Marcel, „De L'audace en métaphysique”, *Revue de Métaphysique et de Morale*, 52e Année, No. 3/4 (Juillet-Octobre 1947), 235.

² Ou, comme l'énonce Pierre Boutang, à l'imitation de Jésus-Christ a succédé l'imitation de n'importe qui, ou de n'importe quoi. Cf. *Apocalypse du Désir*, Paris, Les Editions du Cerf, 2009, 220.

³ La façon dont l'homme traite le cosmos équivaut à la manière dont il entretient des rapports avec lui-même et les autres. Voici la théorie de Gabriel Marcel, qui implique de trouver une façon dont on pourrait retrouver une dignité vis-à-vis de soi, du monde et d'autrui.

du *cogito* formel qui, alors replié sur lui-même, s'était retrouvé coupé du monde empirique dans lequel il est pourtant immergé. Il est donc question de retrouver un „paradis de la sensation perdu” selon l'expression du *Mystère de l'Être*. Si jamais le *cogito* était bien un acte, ce ne serait que comme transcendance, c'est-à-dire en s'ouvrant à ce qui le dépasse et le déborde tout en le constituant. Gabriel Marcel a désiré nommer „Toi absolu” cette rencontre personnelle (qui marque la limite de la transcendance). Néanmoins, pour Gabriel Marcel le *cogito* qui se transcende n'est pas suffisant : il lui faut aussi une méthode pour remettre en question aussi bien nos opinions que l'objectivité scientifique. Cette méthode, c'est la réflexion seconde. La réflexion seconde se manifeste de manière multiple (réfléchir sur les présupposés d'une notion, d'une situation), mais sa multiplicité inhérente n'empêche point une unité du concept en ce que la réflexion seconde révoque le „monde problématique” où subsiste une distance entre le *qui* et le *quid*. La réflexion seconde a pour but de nous faire découvrir que ce que nous prenions pour des opinions n'étaient en fait que des représentations communes erronées. Elle tente un mouvement d'extériorisation pour revenir sur soi par lequel le sujet et l'objet s'affectent réciproquement: c'est ici que les concepts d'engagement, de fidélité apparaissent. Marcel souhaite baptiser „mystère” cette nouvelle façon d'être réunie de manière engagée à la lumière du cosmos (c'est-à-dire le monde dans lequel je suis engagé, et non plus spectateur) On retiendra donc qu'avec Gabriel Marcel la façon dont se positionne l'être humain varie en fonction de la manière dont il traite le monde qui l'entoure (ou le cosmos).⁴

Par conséquent, l'alliance du *cogito* qui se transcende (la foi reconnaissant le Toi absolu) et la réflexion seconde (qui fait découvrir le Mystère) dessine la surface de la Transcendance. A noter, de ce fait, que la Transcendance n'est pas une sphère, au contraire de la conception de certains penseurs, et en cela n'est pas non plus un point statique où l'immutabilité d'un „je” rencontre le divin, mais un chemin à parcourir indéfiniment. Pour cela, il faut revenir à la notion d'*homo viator* si chère à Gabriel Marcel. L'*homo viator*, c'est cet être inquiet qui a réussi à retrouver l'espérance au-delà du monde causal dans un mouvement vers l'origine „en avant de l'étant que je suis” pour reprendre une formule de son disciple Pierre Boutang. Le mot *orior* ne dénote pas autre chose : le mot *orior* désigne à la fois „naître” et „sortir de”; suivre la voie de la Transcendance, c'est donc avoir souci de l'origine, et remonter, dès lors, au principe au cœur du Mystère de l'être. La Transcendance transforme de ce fait l'errance en voyage initiatique dans l'intimité de son mouvement (il est question d'une seconde naissance) – bien que la quête reste inachevée...

⁴ Nous avons ici synthétiser les longues réflexions du *Journal Métaphysique* de Gabriel Marcel.

C'est alors que je découvre l'architecture d'un nouveau monde qui n'est ni „ce monde” ci, ni „l'autre-monde” en tant que tel, mais la superposition des deux. Le lecteur se rendra compte de la difficulté d'une telle conception à propos de laquelle Gabriel Marcel reste souvent très hermétique. On comprendra la nécessité de cette conception dans le troisième moment de cet article. En attendant, on peut conclure partiellement que le plan de la transcendance, chez Gabriel Marcel, c'est le plan où le „je” s'incarne comme corps-sujet envers et contre le corps automate du corps-objet (un corps qui appartient à la causalité et où l'esprit s'apparente encore à une machinerie) mais, paradoxalement, après que ce même „je” s'est transcendé en une foi devenue l'apex de la réflexion qui se nie pour s'affirmer aux côtés de la grâce. Gabriel Marcel nomme „incarnation” le geste par lequel le mystère de la pensée fait corps avec ce qu'elle entreprend, pour retrouver ainsi la très belle formule „d'enracinement dans la Transcendance”: la Transcendance demande une pensée qui s'ancre véritablement au cœur du séparé.

Le lecteur se rendra compte, à la lecture de cette première partie, que le concept de transcendance chez Gabriel Marcel est à la fois chrétien, mais s'éloigne en même du christianisme. Cela vient en majeure partie du fait que Gabriel Marcel a tenté d'unir, non sans succès, une méthode socratique au dogme chrétien, en s'aidant du mythe d'Orphée. Chez cet auteur réside donc un *viator orphique*, c'est-à-dire l'alliance d'une „marche dans l'image” vers le Christ (se faire de manière visible l'image du Dieu invisible) et d'une transcendance de l'opposition vive/mort; il subsiste un mouvement à la limite de cette opposition. Rappelons ainsi que l'incarnation du corps-sujet fait écho à l'incarnation de Dieu (dans le Christ) comme objet pensable. En effet, on ne peut parler de Dieu, ni le penser, sans le dénaturer, excepté si on pense le Christ comme fils de Dieu compensant l'opposition corps/esprit, pour proposer une vraie philosophie de la polarité.⁵

II. L'analogie de la transcendance comme conscience de la séparation chez Boutang

Alors que chez Gabriel Marcel la Transcendance comble la séparation qui subsiste entre le sujet automatisé et le „monde cassé”, chez Pierre Boutang la Transcendance se mesure à la conscience de cette séparation. Pour Pierre Boutang,

⁵ Par polarité nous entendons, à l'instar d'Emmanuel Tourpe, une pensée qui va au-delà de la facticité de certaines oppositions (corps/esprit; vue/ouïe; homme/femme) que prolonge le monde de la technique. En ce sens, la philosophie consisterait en une éternelle lutte contre la destitution de la polarité (en un autre sens, ce que Tourpe nomme la polarité, Boutang l'appelle dyade, en précisant que la dyade réunit ce qui paraît opposé alors que la polarité introduit une notion d'équilibre).

de prime abord „je ne suis pas”, que ce soit par la pensée et le langage, „je” suis en quelque sorte débordé par un moi institué par autrui ou par un appel antérieur à mon existence. Au sein d’un passage qui va de l’absence du sujet à la subjectivité dépouillée, il existerait néanmoins – et paradoxalement – un „je” qui s’individualise.

Pour ce faire, il faut aller de l’oubli à la conscience de l’oubli. Avec Boutang, cela est possible au moyen du secret. En effet, le monde moderne, pour Boutang, est caractérisé par la trahison des secrets, c’est-à-dire par la perte de la fidélité envers les essences. L’homme jeté dans le flux sans l’*eidōs* qui devrait l’accompagner est ainsi marqué du sceau de l’oubli de l’oubli. Or, comment avoir conscience de l’oubli, si j’ai oublié que j’ai oublié? Et comment le secret peut-il être en mesure de retrouver le savoir de l’ignorance, alors que les secrets sont multiples? Pour ce faire Boutang propose de retrouver une subjectivité du libre-arbitre quand bien même elle demanderait un dépouillement du „je”.

Il est donc certain que retrouver la composante d’oubli dans un savoir de l’ignorance se mesure à la révélation du *Philèbe*, que l’on va retrouver dans la Transcendance, mais qui définit tout d’abord le mode dont se compose tout étant: le *peras* (la limite), l’*apeiron* (l’illimité), puis la cause du mélange (*aitia*).

Contre les diverses entreprises nihilistes qui détruisent l’être, l’homme comme „seul animal qui sait qu’il ne sait pas” se doit de retrouver la quête de la Transcendance dans l’optique d’un salut, et ce malgré les obstacles à traverser. Pierre Boutang inscrit la Transcendance comme une „orientation” qui brave „la massivité d’un obstacle, qui est aussi un chemin”. La Transcendance contient trois éléments: l’en-deçà, la limite et de l’au-delà. C’est surtout la notion de „limite” qui est importante. Elle se dit *linea* en latin, *peras* en grec. La limite comme *peras* cerné par l’au-delà équivaut à une „frontière” à traverser, une frontière qui peut appartenir soit à l’au-delà ou à l’en-deçà, soit aux deux à la fois. La notion de limite à franchir permet donc de passer à un „absolument autre”.⁶

Or, comment ce rapporte cette limite à l’étant que je suis? La difficulté, avec Boutang, réside dans le fait qu’il existe une part de discontinuité dans la Transcendance (l’instant) et une part de continuité (le chemin à se tracer).⁷ Pour résoudre cette contradiction il faut revenir premièrement au concept d’analogie, qui permet de mesurer l’incommensurabilité entre le Créateur et la créature. Pour accéder à ce „point de contact”, il est tout d’abord nécessaire que la créature se dépouille de ce qui dit „je” pour laisser entrer Dieu.⁸ La Transcendance dont il est question nous rappelle évidemment la nuit obscure de Saint Jean de la Croix.

⁶ *Ontologie du secret*, PUF, 3^{ème} édition quadrige, Paris, octobre 2016, 392–395.

⁷ C’est par ailleurs le problème de la veille.

⁸ *Ontologie du secret*, 253.

Boutang reprend cette vision par le concept de recueillement comme „pouvoir d’écouter le temps”, c’est-à-dire le fait d’assumer sa finitude ramassée, dont la citation suivante concentre parfaitement les concepts mentionnés ci-avant:

„Il faut que nuit soit faite, que quelque liberté ou »relâche« de l’être du temps soient en creux, ménagés, pour que l’intention de l’âme appelle la lumière, pour que l’objet visé, ou désiré, par une de ses puissances, soit atteint à travers le chemin qu’elle transmue en »limite«”.⁹

Quelle est la nature de cette limite ? Pour le comprendre, il faut revenir aux concepts de secret et d’instant. Pour Boutang, le secret s’inscrit pleinement dans la conscience de la séparation telle qu’espérée au début de notre deuxième partie, si on revient à l’étymologie du mot „secerno”. Est secret ce qui est maintenu séparé dans le caché, mais cette séparation tend vers la communication, sans quoi il ne serait pas secret, mais caché. Le meilleur exemple, donné par Boutang, consiste dans la révélation du nom de Dieu, c’est-à-dire le *sum qui sum*. Mais le chiffre intemporel constitue bien plus le secret de l’être, et non l’être du secret. Pour Boutang, l’être-du-secret renvoie à un „autre” (exemple : le secret d’Achille, qui consiste dans la faiblesse de son talon, renvoie à son humanité). Il y a comme un aiguillonnement de l’étant par le secret. Le secret construit donc une sorte de „chemin” contradictoire avec la „banalité du quotidien”.¹⁰ Plus loin dans *L’Ontologie du secret*, Boutang indique que le secret est solidaire de la limite dans laquelle le caché et le manifeste s’inversent. Le secret est donc consubstantiel à la transcendance, mais aussi à l’instant qui, bien avant d’être l’instant du libre-arbitre dans le catholicisme, correspond aussi à l’instant de la troisième hypothèse du *Parménide*: il y est comme un „sans-lieu” n’appartenant ni au temps, ni à l’éternité, et dans lequel non seulement l’étant peut participer de l’Un, mais aussi l’Un du temps.

Le Transcendant renvoie donc à un „au-delà” de l’essence comme séparation, contrairement à la transcendance qui est le mouvement par lequel s’instaure un point de rencontre entre deux ordres qui s’excluent réciproquement et qui devient en même temps conscience de cette séparation. Pierre Boutang ne donne pas toutes les indications nécessaires pour parler de ce „franchissement”, ce „passage” à un „absolument autre”, mais on peut subodorer que la compréhension de la transcendance ne peut être établie que par la connaissance analogique, celle qui établit un point de contact entre la créature et le Créateur et, plus précisément, l’analogie de proportion si chère à Saint Thomas d’Aquin permettant d’établir une

⁹ *Ibid.*, 395.

¹⁰ *Ibid.*, 157. Dans le mot „banal” subsiste le mot „ban”, l’appel du seigneur à ses vassaux en temps de guerre. Dans la banalité quotidienne réside ainsi un appel du Transcendant.

hiérarchie entre les êtres. La Transcendance ne peut donc pas être pensée sans l’instant, ni l’analogie, et encore moins le secret (et surtout en ce sens que la voie transcendante indique que dans la découverte, dans la possession d’un secret le sujet se trouve métamorphosé): voici la région conceptuelle à explorer chez cet auteur. C’est analogiquement, de ce fait, que Boutang revient à „ce pouvoir d’écouter” le temps et ce grâce au *Purgatoire* de Dante,¹¹ où le „recueil de l’âme” s’établit parallèlement à un mouvement comme „traversée active”, puis un retour à l’équilibre des puissances; la Transcendance est ainsi composée de la transascendance et de la transdescendance, selon une terminologie dont le sens diffère quelque peu de celle employée par Jean Wahl, certes. Jean Wahl associe en effet la transdescendance au démoniaque, alors que Boutang l’associe au retour à la condition humaine après avoir côtoyer le divin.¹² On retrouve de même le mouvement de la transdescendance chez Gabriel Marcel comme „retour à la vie” après l’exercice de la réflexion seconde (qui s’élève de la vie à la réflexion pure qui se nie). Et, à l’instar de Gabriel Marcel, l’exigence de transcendance dépasse l’opposition activité / passivité en comprenant les deux notions.

Par conséquent, il n’est guère surprenant que Pierre Boutang considère que l’humilité incarne l’être de la transcendance par excellence – surtout en se rappelant que le mot „*humus*” désigne la terre.

„L’humilité, plus qu’une vertu, ou une valeur du monde ancien (ce qu’ont cru Spinoza et Nietzsche), est une situation, ou un mouvement, aux limites de la transcendance, »l’être de la transcendance«, attend le divin.”¹³

Ce qu’ajoute l’*humus* à cet enracinement, c’est la reconnaissance de la créature envers la Création : le sacré réside dans la simplicité de la personne, ou plus exactement, comme l’énonce Simone Weil, dans le caractère impersonnel de la personne, celui qui élève l’individu au-delà de la collectivité vers la communion.¹⁴ Ainsi, nul n’a mieux énoncé le sentiment de la transcendance que Romano Guardini – que Boutang ne cite pas:

„Par l’expérience vivante et pure du caractère fini, limité par notre existence, nous avons l’intuition de Celui en qui nous sommes, de celui qui se situe de l’autre côté de nos limites et qui fait de cette limite la proximité de son amour

¹¹ *Purgatoire*, IV, 1 à 19.

¹² Jean Wahl, *Existence humaine et transcendance*, Neufchâtel, La Baconnière, 1944.

¹³ *Ontologie du Secret*, 396. Sémantiquement, le mot „*trezvie*” – qui vient du mot tarros en attique pour désigner la terre, ne signifie pas autre chose, si ce n’est que l’idée de la veille lui est associée. La veille, justement, permet au sujet d’attendre le divin.

¹⁴ Simone Weil, *La Personne et le sacré*, Paris, Allia, 2018, 16.

(...) Ma finitude même, moi-même, je suis le voile qui cache Dieu. Or si je suis le voile de Dieu – le cœur peut battre à cette pensée – alors il se situe de l'autre côté de ma finitude."¹⁵

Ce sentiment dévoile l'expérience à la limite de la finitude. Même si Boutang ne le dit pas explicitement, la Transcendance pourrait donc constituer, à l'instar de Gabriel Marcel, le parcours de *l'homo viator*, celle de la „marche dans l'image" (en vertu du fait que le secret instaure une voie contraire à la banalité quotidienne, et étant donné le fait que le libre-arbitre se retrouve par une philosophie modifiée par la Croix, on peut légitimement supposer que cette voie se fait *imitatio christi*). L'idée du voyage contre l'itinérance de l'homme moderne est présente dès le liminaire de *l'Ontologie du secret*. Justement, dans le voyage moderne la mobilité n'a plus de visée, ni d'objectif, et le viatique se trouve rompu: „en marche", mais vers quoi? Notre époque foisonne de références à une sorte de viator inversé (c'est-à-dire toutes les métaphores de l'homme „en marche", de l'homme mobile): sans transcendance, mais sans aucun éclat immanent non plus; autrement dit, consubstantiel à l'incarnation du rien devenu quelque chose – le nihilisme. Seulement, Pierre Boutang insiste davantage sur la connaissance analogique pour expliquer le mouvement de la transcendance au cœur de la quête du secret. Rappelons, en compagnie d'Henri du Buit, que le mot „comme", que balbutie si souvent l'enfant, fait œuvre, d'ores et déjà, d'une expérience transcendante.¹⁶ Il y a donc bien un „devenir vers l'enfance" présent chez Pierre Boutang, celle qui réunit et connaissance analogique, et connaissance rationnelle. Rappelons ces paroles de Rilke: „être seul comme l'enfant est seul quand les grandes personnes vont et viennent".¹⁷ Une raison „de l'analogie", ce par quoi nous retrouvons notre enfance métaphysique que les raisons techniques ont voulu annihiler, mais en nous souvenant, à l'aide de Saint Thomas, de notre substance de nature rationnelle. Peut-être avons-nous retrouvé, dans la traversée silencieuse de cette limite, le sentiment du déploiement de l'expression *genesis eis ousian* employée par Platon, un „devenir vers l'essence".

D'autre part, ce „comme" analogique pourrait conduire au „comme si non" paulinien (sur lequel Agamben a rendu un exposé très précis),¹⁸ sans être totalement paulinien, à savoir le fait d'être „comme de l'autre côté", sans être de l'autre-côté,

¹⁵ R. Guardini, *Le Dieu vivant*, trad. Jeanne Ancelet-Hustache, Colmar, Alsatia, 1956, 89.

¹⁶ Henri du Buit, *Le Petit Boutang des philosophes*, Paris, Les provinciales, 2016, 67.

¹⁷ Relevé dans *Homo viator*, Aubier, Paris, 288.

¹⁸ Cf. Giorgio Agamben, *Le Temps qui reste*, Paris, Rivages poche, 2004. L'expérience de la transcendance par le secret épanouie dans la veille pourrait faire naître une sorte d'état d'exception métaphysique et, en ce sens, différerait légèrement de la théorie d'Agamben, sans pour autant s'éloigner de la vision de Saint Paul. Elle s'articule autour de la problématique d'une exception dans l'instant qui se prolonge, autrement dit d'une continuité au cœur d'une discontinuité.

le sentiment d'expérimenter l'absolument autre, sans être absolument autre (Boutang dira, en prenant appui sur *Le Château* de Kafka, que ce sentiment se déploie dans une situation dans laquelle je ne suis pas absolument ici-bas sans être pourtant passé du côté des âmes ou esprits).¹⁹ Toutefois, nous n'en avons délivré que de brèves indications, dont le développement demanderait une étude toute entière.

Nous venons d'exposer séparément le concept de transcendance chez Gabriel Marcel et Pierre Boutang. En tentant de réconcilier les deux pensées, on peut caractériser de deux manières l'homo viator: 1) c'est un être qui s'enracine paradoxalement dans Dieu par le mystère ou le secret 2) pour faire l'expérience du $\omega\varsigma\ \mu\eta$. Mais de quelle façon la transcendance peut-elle transformer mon expérience, c'est-à-dire reconfigurer l'immanence de cette dernière? Nous n'avons pas non plus répondu à la manière dont on peut se rappeler de l'être transcendant là où règne l'oubli de l'oubli. Notre tâche consistera donc à tenter de répondre à ces deux questions à la fois.

III. La Transcendance comme reconfiguration de l'immanence

Pour Gabriel Marcel, la Transcendance n'est pas séparée de notre expérience immédiate. Rappelons que celui qui emprunte la voie de la transcendance devient „corps-sujet” (incarnation dans le monde sensible), qui appréhende le cosmos d'une manière différente du corps-objet (dans le monde de la technique). A cet égard, Marcel distingue plusieurs transcendances comme la „télépathie” qui serait une transgression dans l'espace, de manière analogue à la mémoire qui serait une transgression dans le temps.²⁰ On constate donc que dans la transcendance, il existe aussi une sorte de „sortie de soi”, une transgression de certaines lois naturelles (si on maintient l'opposition naturel/surnaturel, une opposition que

¹⁹ *Ontologie du secret*, 401.

²⁰ On peut retrouver des écrits sur le mystère de la télépathie dans la *Dignité humaine*. Je cite: „par un mouvement spontané de la pensée, je m'inscrivais catégoriquement en faux contre l'idée encore aujourd'hui si courante d'après laquelle il y aurait d'un côté les faits psychologiques normaux, considérés comme »tous naturels«, comme relevant d'explications sur lesquelles tout le monde peut se mettre d'accord – et puis, à côté de ces faits, en dehors d'eux, séparés d'eux par on ne sait quelle frontière, des phénomènes singuliers, dont l'existence est d'ailleurs douteuse, mais dont en tout cas il ne me serait possible de rendre compte qu'en faisant appel à on ne sait quelles forces, ou quels agents, dont l'action ne s'exerce pas dans la sphère de l'expérience quotidienne (...) il est en réalité probable qu'il faudrait partir du para-normal pour éclairer le normal – et cela parce que cette idée même du normal est fautive, qu'elle dérive exclusivement de l'habitude qui vient – comme si souvent – oblitérer l'étranger fondamentale du donné”. Cf. *De la Dignité humaine*, Paris, Aubier, 1964, 64–65.

Gabriel Marcel réfuterait), à cette différence près que cette „ex-tase” n’est plus semblable au sujet sartrien qui se néantise. Il ne faut pas non plus imaginer avec extravagance cette nouvelle configuration sensorielle comme un gain de „superpouvoirs” (selon certaines opinions courantes), mais bien plus comme un don de Dieu reposant sur l’invincibilité de cette voie périlleuse. Télépathie et Mémoire, comme transgressions de l’ordre causal du temps et de l’espace pour cristalliser une proximité dans l’absence, formeraient ainsi les conditions de possibilité de la „communion” si chère à Gabriel Marcel, qui découle d’une veille personnelle comme découverte en soi de la Transcendance pour fonder un „autre monde”; un monde autre où je m’inscris en tant que corps-sujet, où les âmes communiquent entre elles en tant que tel.

Cependant, comme le souligne Boutang dans un article commentant le concept de transcendance chez Gabriel Marcel, cet „autre monde” n’est dénommé ainsi que par nécessité de langage, car en réalité son architecture ne relève ni d’un monde absolument autre, un „canton reculé du monde”, ni véritablement de ce monde-ci. On retrouve une telle conception dans *l’Ontologie du secret* par la coïncidence de l’*eidōs* et de banalité du quotidien instauré par l’être-du-secret comme chemin-*metaxu* (un entre-deux entre l’être et le non-être). La Transcendance, comme pure présence de l’absence, devient alors le „cœur de la métaphysique” dont la tâche de l’ontologue est d’en avoir souci – c’est-à-dire d’être attentif à cette proximité supérieure.²¹ Plus tôt dans l’article, nous avons parlé de la transcendance comme appartenant soit à l’au-delà, soit à l’en-deçà via la limite fondatrice, mais il nous semble désormais qu’analogiquement elle suive le viatique comme appartenant à la fois à cet „autre-monde” et à „ce monde-ci”, donnant le sens „d’être-pour-la-mort” à l’homme. Ce sens ne s’affirme-t-il pas grâce à l’art?

Quand bien même la Transcendance serait perdue, il y aurait toujours l’art pour éveiller en nous l’idée de sa direction. Mais il faudrait préciser alors que cet art doit être communicatif, ou bien doit relever de la communion. On peut bien sûr prendre pour exemple la vision du théâtre chez Gabriel Marcel (qui a pour but de porter la Lumière du Mystère pour autrui et éveiller en lui la réflexion seconde), mais nous désirons à dessein ouvrir notre propos au-delà de la restriction chrétienne. En effet, prenons l’art indien, et plus particulièrement une danse spéciale, le *bharata natyam*. Louis Malle avait filmé avec précision dans les années 70, dans le Madras, une recrudescence de cette danse, qui suppose un apprentissage personnel long et exigeant.²² En interrogeant les deux danseuses qu’il avait filmées, Louis Malle découvre que, pour elles, cette danse s’offre telle une prière pour Dieu. On peut

²¹ *Ibid.*, 319.

²² Louis Malle, *L’Inde fantôme*, NEF – ORTF, 1969, 378 min.

supposer, par conséquent, que l'apprentissage et l'exécution de cette danse correspond à la „voie” conçue par les G. Marcel et P. Boutang, qui a pour but d'éveiller le sens de la Transcendance en nous, pour ainsi rompre l'oubli de l'oubli. Quand bien même la direction vers ce qui est Transcendant n'existerait plus dans notre monde aseptisé, il y aurait toujours l'art comme „vibration de la Transcendance” pour nous aider à retrouver le sens du sacré.²³

Pierre Boutang, comme Gabriel Marcel, pensent tout naturellement à la musique pour retrouver le sacré.²⁴ N'oublions pas que la musique, comme le chant (et, *a fortiori*, la poésie) sont les seuls arts autorisés au Paradis, étant non représentatifs. Mais ce qui est visé, plus que tout, par la musique, c'est le fait de retrouver le sourire de l'enfance, le sourire des sourires de William Blake, une enfance quasi-angélique, tandis que la modernité, dans la luxure de ses désirs désordonnés, clôt le sujet dans l'adolescence abâtardie d'une musique informelle. La Transcendance a pour but de réconcilier l'enfance métaphysique à une certaine maturité. Ce qui est visé, c'est donc „la réconciliation du Dieu et du monde, dont la déchirure est le secret que doit déchiffrer l'ontologie”.²⁵ La musique éveille en nous l'architecture d'un autre monde s'incarnant comme présence absente et, ni même, ni autre, l'étant ne peut la traverser sans se trouver être métamorphosé.²⁶ C'est ainsi que la musique devient „l'autre-de-la-grâce”, et nous préciserions même „analogie de la grâce”: elle inspire le sentiment d'être sauvé au gré de son „dangereux parler” jailli du rythme retrouvé de la *vox cordis* apaisant son inquiétude.²⁷ Dès lors, dans la Transcendance il existe une alliance entre analogie et raison, une „raison analogique”. Pierre Boutang désire nommer couloir oblique ce mouvement de la raison analogique comme approche asymptotique du divin, sans pourtant lui être coéternel.²⁸

²³ A ceci près que le „bharatanatyam” a été ressuscité, c'est-à-dire que cette danse est tombé davantage dans le folklore que dans la tradition (ce dernier se transmettant dans une communauté fortement ancrée). On peut affirmer que la tradition c'est la transcendance vécue, le folklore devient alors une „trace” de la transcendance. Mais mieux vaut une trace de la transcendance que l'empreinte du nihilisme.

²⁴ *Ontologie du secret*, 419–422; *Apocalypse du Désir*, 320–324.

²⁵ Pierre Boutang, *Le Souci de la transcendance*, Revue de Métaphysique et de Morale, 79e Année, No. 3 (Juillet-Septembre 1974).

²⁶ *Ontologie du secret*, 420: „Et pourtant elle se présente toujours comme une direction vers cela que je ne pourrais saisir sans être immédiatement transformé. Elle se donne, s'insinue, comme déjà et par elle-même »autre monde«, sans quitter celui-ci.”

²⁷ *Ibid.*, 422.

²⁸ *Ibid.*, ch. „dénouement”.

En conclusion, bien que la transcendance s'élabore de manière différente chez Marcel et Boutang, le premier par le concept de mystère, le deuxième par le concept de secret, elle se dessine comme une „voie” que doit emprunter le *viator*, elle devient alors une „marche dans l'image”. Comme reconfiguration de l'immanence, la transcendance est à la fois „de” ce monde, et „en dehors de ce monde”. On peut, encore une fois, reprendre l'analogie de la transascendance et de la transdescendance.

Rappelons que le mouvement temporel de la transcendance a pu être caractérisée de manière plus précise par Pierre Boutang à la fin de *L'Ontologie du secret* et *d'Apocalypse du Désir* comme „couloir oblique”, qui est un composé de la circularité et de la linéarité d'un point de vue spatial, et d'un point de vue temporel de l'éternité et de la durée. Dans ce cas, l'obliquité s'assimilerait au véritable temps de la participation, du grec „methexein”, qui signifie „rester auprès”, traduisant le paradoxe d'un étant dans le temps mais tout en restant en bordure d'éternité. Le mouvement de la transcendance se cristallise alors dans un temps „éontique”, du latin *aevum*, qui dénote un temps participé, qualifié sans pour autant que l'étant qui le traverse soit co-éternel à Dieu.

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A REMARK ABOUT THE ANALYSIS OF THE ILLOCUTIONARY ACT OF ASSERTION*

P. ALPÁR GERGELY**

ABSTRACT. *A Remark about the Analysis of the Illocutionary Act of Assertion.* The starting point of this article is the Searleian analysis of the illocutionary act of assertion. I try to sketch an alternative interpretation of the illocutionary act of assertion based on the arguments brought forward by John R. Searle, Paul Grice, Rom Harré, Robert Brandom. This possible interpretation might help us raise some questions about the Searleian interpretation.

Keywords: *assertion, meaning, argumentation, convincing, John R. Searle, Paul Grice, Rom Harré, Robert Brandom*

In the 3rd chapter of his book *Speech Acts* John Searle focuses on the structure of the illocutionary acts. First he analyzes the speech act of promising, then he turns his attention to other speech acts, to that of the speech act of assertion too. In this paper I focus on the speech act of assertion. I will reflect on Searle's remarks about the assertion, and I will try to suggest that if we were to strive for consistency, we wouldn't accept his remarks without any hesitation. In my analysis I will rely on the arguments made by Paul Grice, Robert Brandom and Rom Harré. As a result of this undertaking I hope that I will raise some questions that should be considered when reflecting on the speech act of assertion.

The starting point of my paper are the remarks made by Searle, those which for clarity's sake, I will quote here in their entirety:

“[Let us consider a]ny proposition *p*.

1. *S* has evidence (reasons, etc.) for the truth of *p*.

* The current study is a translation of an in press article written originally in Hungarian. The original title was “Megjegyzés az asszerció illokúciós aktusának elemzéséhez”. The original article will be published in *Erdélyi Múzeum*, 2018/4.

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2. It is not obvious to both *S* and *H* that *H* knows (does not need to be reminded of, etc.) *p*.

S believes *p*.

[The illocutionary act of asserting *c*] counts as an undertaking to the effect that *p* represents an actual state of affairs.

Unlike *argue* these do not seem to be essentially tied to attempting to convince. Thus 'I am simply stating that *p* and not attempting to convince you' is acceptable, but 'I am arguing that *p* and not attempting to convince you' sounds inconsistent."¹

Let us now consider a particular statement: "the grass is green", and see how Searle's analysis deals with it:

1. Consider the following statement: "the grass is green".
2. The speaker has evidence supporting the fact (that it is true) that the grass is green.
3. Neither for the speaker, nor for the listener it is obvious, that the listener knows that the grass is green.
4. The speaker thinks that the grass is green.
5. By uttering the statement "the grass is green" the speaker guarantees that it is a fact, that the grass is green.

Searle claims that in the case of the speaker uttering the statement "the grass is green", the speaker's intention to convince the listener is not part of the speech act itself. It is acceptable, according to him, if the speaker says "I merely assert the fact that the grass is green, but I don't want to persuade you of it", however it is unacceptable if he says "I argue in favor of the fact that the grass is green, but I don't want to persuade you of it". According to Searle the latter case is inconsistent. This means that the two assertions can't be both true at the same time: on the one hand if it is true that I argue in favor of the fact that the grass is green, it is false that I don't want to persuade you (meaning: I want to persuade you of the fact that the grass is green); on the other hand if it is true that I don't want to persuade you that the grass is green, it is false that I argue in favor of that (that is: I don't argue in favor of the fact that the grass is green, "I merely assert that...").

Searle's analysis raises several questions: 1. what is or what can be the speaker's intention when he utters the statement "the grass is green", and he doesn't want to convince the listener of his utterance's truth?; 2. does the fact that the speaker doesn't want to convince the listener of the truth of his statement mean that the

¹ John R. Searle, *Speech Acts*, Cambridge University Press, 2001, p. 66.

speaker can be lacking (meaning: it is not always present) the intention to convince the listener, or does it mean that we generally don't think that the illocutionary act of asserting supposes the presence of the intention of convincing?

Let us consider the illocutionary acts. Searle claims that unlike the act of referring and that of predicating the illocutionary acts are complete speech acts. With the act of referring we just mention or name an object, and thus signal to the hearer that we will say something about that particular object (for example the grass), with the help of the act of predicating, we say something about the object that we have previously named, we attach an attribute to it (that it is green, for example). In terms of traditional logic: the act of referring marks the logical subject of the statement, and the act of predicating attaches the logical predicate to the logical subject of the statement. Searle claims that we have to distinguish the acts of referring and that of predicating from the complete speech acts, which according to him are asserting, inquiring, commanding, etc.² As a result of this differentiation we will observe that the same act of referring and predicating can appear as the component of different speech acts. As an example, in case of

The grass is green.
Is the grass green?
I wish the grass was green!

It is the same reference and predicate that appears in these different utterances, but in case of the first utterance we speak of an assertion, in case of the second one about a question, in the third case about the formulation of a wish, etc. These latter ones are what we call illocutionary acts. It is peculiar of the illocutionary acts that the speaker "is characteristically saying something and not merely mouthing words."³ But "[w]hat is the difference between just uttering sounds or making marks and performing an illocutionary act? One difference is that the sounds or marks one makes in the performance of an illocutionary act are characteristically said to have meaning, and a second related difference is that one is characteristically said to mean something by the utterance of those sounds or marks."⁴

In marking the first difference, the one between the sounds that were merely uttered and the illocutionary acts, the whole problem of meaning arises, while in marking the second difference the problem of meaning and intention comes to the front. We shall focus on both of these problems. Following Searle's inquiry we

² *Ibid.*, p. 23.

³ *Ibid.*

⁴ *Ibid.*, p. 42.

will try to shed some light on both the issue of meaning, and that of meaning and intention with the help of Paul Grice.

I will borrow the definition of meaning from Grice himself, in the form that he formulated it in an article written after his famous *Meaning*. According to this definition by uttering a certain sentence a speaker expresses some kind of meaning if “[f]or some audience A, U intended his utterance of x to produce in A some effect (response) E, by means of A’s recognition of that intention.”⁵ Reflecting upon our example: the speaker expresses a certain meaning, if by uttering the sentence “the grass is green” he produces a certain reaction in the hearer, by means of the hearer’s recognition of the speaker’s intention to produce a certain reaction in the hearer. In *Meaning* Grice defined this response in the fact that the hearer came to believe something. Put it simple: the speaker by uttering the sentence “the grass is green” wants the hearer to come to believe that the grass is green. Grice later improved on his initial view, because he considered it to be too strong. As a result of the improvement he later defined the intended effect in case of an assertion (indicative-type utterance) not in making the hearer believe what the sentence stated (in our case that the grass is green), but in the hearer believing that the speaker believes what he says, that is that the grass is green.⁶

Although there is a difference between the former and the latter conception of Grice, I don’t think that the improved version changes the way we tackle the problem, for in both the first and the second case the speaker’s intention is to produce a certain belief in the hearer: in the first case that things are as the assertion states they are, in the second case that the speaker believes that things are as the assertion states they are.

Without discussing the Searleian critique of Grice’s conception of meaning in great detail, I will list them.⁷ According to Searle Grice made two mistakes in regards with meaning. First: he didn’t clarify the relation between meaning and convention, that is he didn’t explain why certain sentences mean what they mean, and thus didn’t explain the reason why we use specific utterances to produce certain speech acts. Second (and this is more important from this paper’s point of view): Grice doesn’t draw a clear line between the illocutionary and the perlocutionary acts. (Illocutionary acts are acts “done in uttering what one does”⁸ (in case of the

⁵ Herbert Paul Grice, “Utterer’s Meaning, Sentence-Meaning and Word-Meaning”, in Herbert Paul Grice, *Studies in the Way of Words*, Harvard University Press, 2002, p. 122.

⁶ *Ibid.*, p. 123.

⁷ For a detailed analysis see P. Alpár Gergely, “Grice jelentéselméletének searle-i kritikája”, in *Erdélyi Múzeum*, LXXVII., 4 (2015), pp. 148–155.

⁸ *The Oxford Dictionary of Philosophy*, ed. Simon Blackburn, Oxford University Press, 1996, entry: Illocutionary act.

assertion “the grass is green” the act of asserting), and perlocutionary acts are acts “performed by speech only if certain effects are generated”⁹ (the fact that the speaker makes the hearer believe that the grass is green, or that he makes the hearer believe that he, the speaker, believes that the grass is green).

In his *Utterer’s Meaning and Intentions*¹⁰ Grice reflects on Searle’s criticism. Grice doesn’t think that the Searleian criticism is valid. He firmly believes that Searle’s counterexamples are not really counterexamples because Searle doesn’t really want to improve on his theory, Searle instead wants to prove his own point.

Grice gladly accepts Searle’s proposition according to which in normal circumstances we recognize the speaker’s intentions based on the conventional meaning of sentences. That is, the reason that we know that the speaker intended to say that the grass is green, is that he uttered the sentence “the grass is green”. But there wouldn’t be a problem if the speaker (be him an American soldier in an Italian prison camp who intends to make his guards believe that, by uttering the sentence “the grass is green”, he means he is a German officer) intended to express a different meaning than that of the conventional meaning of his utterance. This would be possible if the speaker (the American soldier) thought that his audience (the Italians) will reason in a certain way, and as a result of their reasoning they will reach the conclusion that the speaker expressed the meaning that he wanted to express: by uttering the sentence “the grass is green” the Italians (who don’t speak German) will conclude that the American soldier wanted to express that he is a German officer. Thus the question arises: in the second case did the speaker by uttering the sentence “the grass is green” conventionally express that he is a German soldier? Not at all. He conventionally expressed that the grass is green, moreover, says Grice, the American soldier wouldn’t have wanted the Italians to believe that he is a German officer by recognizing his intention. He can’t make his intention clear, because that would reveal his identity. But he could have intended the Italians to reason in a certain way, and according to Grice this is precisely what the American soldier intended: for the guards to reach the conclusion (as a result of their reasoning) that he is a German officer.

In this respect we can consider that we have clarified the relation of speaker intention and convention. In specific situations the speaker uses certain utterances (e.g. “the grass is green”), because he intends to express the meaning that that specific utterance conventionally expresses (the grass is green). The second example is a bit more complicated, because the stress falls not so much on the sentence’s conventional meaning, but on the meaning of the speaker’s intention. Let us consider

⁹ *Ibid.*, entry: Perlocutionary act.

¹⁰ Herbert Paul Grice, “Utterer’s Meaning and Intentions”, in Herbert Paul Grice, *Studies in the Way of Words*, Harvard University Press, 2002, pp. 86–116.

Grice's third example for greater clarity. Grice recounts that once he overheard his friend's daughter's French lesson, and observed that the girl mistakenly believed that the meaning of an utterance was different than it really was: considering our example: she mistakenly believed that the meaning of the sentence "the grass is green" was "help yourself to some cake". Because Grice knew that the girl mistakenly believed that the meaning of the sentence was different than it really was, in an appropriate situation he used the sentence "the grass is green" to offer the girl some cake. The girl helped herself to some cake, and Grice correctly concluded that although the conventional meaning of the sentence was different than the one the girl thought it was, by uttering that specific sentence Grice successfully managed to offer the girls some cake. This instance is the perfect example that in some cases (if the circumstances are appropriate) the meaning of a sentence can be reduced to the speaker's intention. This is the type of meaning that Grice calls utterer's meaning.

Let us now turn to Searle's second critical remark. According to this whenever a hearer understands a meaning, Grice always presupposes a perlocutionary act, however, this is not always the case. We still focus our attention on the assertion. And here we will not say anything else, but repeat Grice's improved standpoint. In *Meaning* Grice defined the perlocutionary act produced by the utterance of a sentence (the statement's effect on the hearer) in the hearer's belief that the world is as the speaker described it. And according to the improved version the perlocutionary act manifests itself in the fact that the hearer believes that the speaker believes what the statement states. Earlier I have said that from the viewpoint of this paper there is no major difference between Grice's two formulations. Now I will specify my point: there is no major difference from the standpoint of the utterer's intention, for in both cases the utterer's intention is to have the hearer come to believe a certain fact.

A good explanation of his theory of meaning is given by Grice himself in his *Meaning Revisited*. In the first part of this article Grice presents the theory that lies in the background of his theory of meaning. According to Grice the core of the problem of meaning can be best described in the tripartite relation of thought, language and reality. There is a correspondence between thought and reality, which he calls the psychophysical correspondence. The psychophysical correspondence explains "the ways in which human beings and other sentient creatures get around and stay alive, as well as perhaps doing more ambitious things than that."¹¹ This quasi-theory acts as an explanatory bridge between the physical environment of humans and their behavior. The theory's central concepts are believing and wanting. Grice takes it as self-evident, thus he doesn't even explain further, that human beings want things,

¹¹ Herbert Paul Grice, "Meaning Revisited", in Herbert Paul Grice, *Studies in the Way of Words*, Harvard University Press, 2002, p. 284.

they have goals. It is also self-evident for him, that if nothing stands in our way in reaching our goals, we will try and reach them. For this, though, it is necessary for us to have such beliefs that correspond to the facts in the world. Because if our beliefs didn't correspond to the facts of the world, certain situations might arise in which our ambition to reach a certain goal and the action performed to reach that goal wouldn't be beneficial for us. And this cannot be the case. This cannot be the case because Grice supposes that as humans we are rational beings. And rational beings not only have goals, but they have goals that they think are advantageous for themselves. This line of thought explains why Grice thinks that the correspondence between thought and reality is desirable, and also thinks that it is important for humans to think that this kind of correspondence is desirable. Grice refuses to call this conception a theory; he also didn't think that by presenting his ideas he outlined several theories. According to him these ideas stem in folk psychology, they are in fact explanatory conceptions, and their sole advantage is that they simply work. This is Grice's explanation of the relation between thought and reality in a nutshell.

When it comes to the relation between thought and language Grice has a similar intuitive explanation. It is advantageous from the standpoint of a creature's survival and success for that creature to share its thoughts and conceptions with other creatures. This is where language plays its part. Language is the tool that enables creatures to share their experiences with one another, and thus it is useful for the parties to describe the world as it is. Here we also have to suppose a certain kind of correspondence between psychological states (e.g. beliefs) and utterances. If this correspondence holds, it enables the speaker/utterer to share his own psychological state with the hearer. Thus communication can be best described by the following threefold relation: a certain psychological state is followed by an utterance, and on the hearer's part this utterance is also followed by a certain psychological state. Successful communication is defined by two things: 1. that the utterer's and the hearer's psychological states are of the same type, and 2. that the shared states correspond to the facts of the world. There is a psycholinguistic correspondence between psychological states and utterances, and this correspondence is the one describing the relation between thought and language.

Grice now focuses on the link between language and reality. He shows that the two relate to one another in an indirect way, through thought. The question arises, of course: is there a direct link between language and reality? Grice's answer is a positive one, and he invokes the correspondence theory of truth as an explanation. Sentences, that is language, describes the world. A sentence is said to be true when it describes things in the world as they are. Thus the sentence "the grass is green" is true if the grass is green. But Grice doesn't stop here; he continues

with his explanation. We not only describe the world with sentences, we also describe our psychological states with them. This is in fact another way of saying that our beliefs are and our knowledge is propositional. The correspondence between our psychological states and the world manifests itself in the utterance of true sentences. And whenever we speak of sentences that describe the world and that are true, we also make reference to beliefs and psychological states. So to sum up what we have said thus far: whenever we deal with two of the connections of the threefold relation of thought, reality and language, we cannot do so without referring to the third element and connection.

Grice's two conceptions that are rooted in common sense are a good starting point in explaining his views on meaning. One of the pillars of Grice's view on meaning is that we, humans have goals (are goal-oriented), and in order to reach our goals we are ready to act. The other pillar of his view is that we are always ready to share our experiences of the world with one another, and our motivation in sharing our experiences of the world is also the fact that we have goals. The reason we share our experiences of the world with one another is that we want to change the state of the world, and we can only succeed in doing so if we describe the world according to reality. Language is the tool with the help of which we describe the world. There are two ideas that are present in Grice's conception: a teleological idea (humans are goal-oriented creatures), and an idea of double correspondence: the correspondence between thought and reality, and the correspondence between reality and language.

Both Grice and Searle accept the idea of the double correspondence. According to Searle the correspondence theory is the result of external realism, which he accepts. Accepting the position of external realism means that he accepts the following statement: there is an external world, and this external world is mind-independent. Following the correspondence theory we can state that it is through language that we access this objective external world. There are two types of sentences: sentences that describe the world as it is are true sentences, and sentences that don't describe the world as it is are called false sentences. In the history of thought true and false sentences were not considered equal; true sentences always played a special part. True sentences are special because they are the ones that describe reality. And if we now consider Grice's teleological idea, we know that in order for us to change the state of the world, we must know what is the world's current state.

In the *Metaphysics* Aristotle claims that "[b]y nature, all men long to know."¹² When doing sciences we follow our nature; we establish cause and effect relations, apply certain methods in our questioning and research, and as a result of all this we

¹² Aristotle, *Metaphysics*, Penguin Books, 1998, 980a.

formulate certain statements about the world. The statements of sciences are true statements, that is they are statements that describe the world as it is. The goal of science is to describe the facts in the world; if we manage to do this we say that we know how the world is.

Let us now give a quasi-definition of sciences, that is relevant from the point of view of this paper. Scientific knowledge and thus sciences are a set of well-ordered statements, or propositions that most of the time reveal cause and effect relations. A prime example of the definition is the classic syllogism of traditional logic: “Every man is mortal”, “Socrates is a man”, “Socrates is mortal”. Every statement is a true proposition, and the propositions are presented in a certain order. Were we to rearrange the order of these propositions, the syllogism wouldn’t be valid any more: “Socrates is mortal”, “Socrates is a man”, “Every man is mortal”. In this latter example the third statement is not a valid conclusion of the two premises. We would also come up with the same result were we to utter these statements at different times during the course of a day, say in four-hour intervals. The first syllogism is a valid syllogism. This means that the conclusion follows from the premises because our inference (as a process) was correct, and the premises true. But the syllogism is not only valid, it is also convincing or persuasive. Or is the syllogism persuasive because it is valid? Logicians have quite a simple answer to this question. According to them the syllogism is valid because the relations between the extensions of terms make it valid, and by this they mean that the connection of the premises accepted as facts guarantees the truth of the conclusion.

Two questions arise at this point: 1. are the facts themselves persuasive?, and 2. do the remarks made about the syllogism of our example also apply to the types of sentences like “the grass is green”? The answers to these questions are interconnected. On the one hand we can claim that the grass is green and we can verify the truth of our claim by looking at it (perception). If the grass is indeed green we take it as a fact that it is green.¹³ And if we want our explanatory chain to be finite, we have to agree on accepting certain claims as claims whose truth are beyond any doubt, whose truth we will not question. By doing so we take these claims to be convincing or persuasive. This is basically the idea that lays in the background of the correspondence theory of truth.

At this point I will cite two conceptions. The first one was elaborated by Rom Harré.¹⁴ At one point in the process of examining the phenomena of persuasion and

¹³ Bertrand Russell, “Knowledge by Acquaintance and Knowledge by Description”, in Bertrand Russell, *The Problems of Philosophy*, Oxford University Press, 2001, pp. 25–32.

¹⁴ Rom Harré, “Meggyőzés és manipulálás” in *Nyelv – kommunikáció – cselekvés*, ed. Pléh Csaba–Síkklaki István–Terestyéni Tamás, Osiris Kiadó, Budapest, 2001, pp. 627–641.

manipulation Harré asks the question which focuses on the way scientific texts persuade us. Traditionally it has been thought that there is a difference between correct thinking (dialectic) and successful thinking (rhetoric). In the case of dialectic the persuasive force lies in the form, while in the second case the persuasive force lies in the way that the elements of the text are connected. In his essay Harré argues that this image is not authentic any more. He claims that in order for us to get a more realistic picture of how scientific texts are produced, and if we also want to expose the persuasiveness of this type of texts, we first have to give up two ideas that we have previously adopted. The first of these received ideas is that there is a clearly delimited realm of facts that we call the natural world; the second accepted idea is that a new theory can be developed purely by setting the facts in a logical order. Harré argues that the persuasive power of scientific texts is the result of the intertwining of analogies. In the beginning we compare something unknown to something that we already know: the similarities are already assumed, while imagination is the one filling the gaps in explaining the differences. But there is also another method that guarantees the success and persuasive power of scientific texts: it is often the case that researchers instead of having a preliminary question at the beginning of their research project, first come up with an answer, and then invent a question which apparently is answered by their findings. So the process is in fact inverted; scientists work out an answer to a non-existent question, then invent a question that suits their answer.

The second conception that I cite here is the one Robert Brandom elaborated in his article, *Asserting*. Brandom's question is a simple one: "[w]hat is it that we are doing when we assert, claim, or declare something?"¹⁵ The classical theory of proposition that is rooted in Gottlob Frege's *Begriffsschrift*¹⁶ discusses this issue using the terminology of semantics. According to this theory propositions are said to be either true or false, and the theory presupposes that in the case of every proposition we can name those truth conditions that make the propositions true or false. Within this framework the fact that we regard the conclusion of a syllogism to be true simply means that the set of the conclusion's truth conditions is a subset of the set of the premises' truth conditions. Brandom however doesn't ground his conception on this framework, but rather, like John Dewey and Ludwig Wittgenstein, sees inference (the process itself and the result of it, the utterance of an assertion, namely the conclusion) as social practice. And from this point of view the focus is not on the correspondence of an assertion (proposition) with reality any more, but

¹⁵ Robert Brandom, "Asserting" in *Nous*, Vol. 17., No. 4., p. 637.

¹⁶ Gottlob Frege, "Begriffsschrift", in Jean van Heijenoort, *From Frege to Gödel*, Harvard University Press, 1967, pp. 1–82.

on the assertion being in agreement with a certain community's social practice. Thus the problem of assertion as a speech act arises in a socially constructed structure, that is defined by responsibility and authority. In this context asserting a certain statement is identical with one's commitment to the truth of a particular assertion: in case of asserting the statement "the grass is green" we in fact commit ourselves to the truth of the sentence, that is to the fact that the grass is green.

The notion of commitment is of utmost importance. Committing ourselves to the truth of a statement supposes that whenever a situation occurs, in which the truth of that particular statement is questioned, we will be ready to defend its truth, and guarantee it. However in such a case we don't just defend the truth of our statement, but we also defend our right to assert that statement, we undertake justificatory responsibility for it. And to undertake justificatory responsibility for asserting a statement in the context of asserting as a social practice means to authorize others to assert further statements using the initial assertion as the point of departure, or to put it in logical terms: authorizing others to draw a conclusion based on our initial assertion as a premise.

Let us now return to our example: the sentence "the grass is green". Searle claims that it is acceptable for a speaker to say that he merely states something and doesn't want to convince the hearer, but it is unacceptable for the speaker to argue that something is such-and-such, and claim that he doesn't want to convince the hearer. It is clear that Searle is right in the second case, for the act of arguing that such-and-such is the case presupposes the speaker's intention to convince the hearer. If this wasn't the case, we wouldn't say that the speaker argues that something is such-and-such. However the first case is not that self-evident.

Consider the things Searle would say about a certain proposition p (be this in our case the sentence "the grass is green"). He affirms that the speaker has evidence that proves that the grass is green. These are probably assertions (cause and effect type explanations) based on which the speaker believes that the grass is green. The speaker also believes that (most probably based on the aforementioned assertions taken as proofs) the grass is green. Add to this the fact that neither for the speaker, nor for the hearer it is obvious that the hearer knows the grass is green, plus the fact that the speaker guarantees (meaning that in a controversial situation he undertakes justificatory responsibility and will be ready to defend the truth of his assertion) that the grass is green. Taken all these considerations into account I don't think Searle's argument is solid enough when he claims that in a case like this the speaker wouldn't want to convince the hearer that the grass is green. I see two options here. The first one: the speaker doesn't want to convince the hearer of the truth of his assertion, because the hearer never even doubted that the grass was

green; the speaker believes that the hearer believes that the grass is green, and the hearer believed the speaker when he stated that the grass was green. The second option is closely related to the first one: the reason the speaker doesn't want to convince the hearer of the truth of his assertion (that the grass is green) is that the hearer knows the rules of the speech act of assertion. He knows (even if he can't explicitly formulate the rules) that in case he questioned the truth of the speaker's assertion, the speaker would be ready to defend his assertion, that is he would be ready to argue that the grass is green by enumerating all those other assertions (premises) based on which he reached the conclusion (the assertion that he has just uttered) that the grass is green. All those other assertions that stand at the base of the so-called conclusion support the conclusion, are part of the argument that concludes that the grass is green.

Rom Harré argued that facts on their own are not convincing. What convinces us is our speech about facts, and the way we speak about them. Reasoning, or argument is a string of carefully ordered assertions, whose conclusion is also an assertion. The goal of an argument is to prove a point, or to convince the hearer of the truth of the argument's conclusion, to produce a certain belief in the hearer.

Robert Brandom showed us that we take justificatory responsibility for our assertions. This means, that in a questionable situation we as speakers are ready to defend our statement. We are ready to argue in favor of our assertion's truth, and thus produce a certain belief in the speaker, at least the belief that we believe what we say.

At the beginning of this paper I have asked the following question: what is the intention of a speaker, who utters an assertion, and doesn't want to convince the hearer? In this paper I argued that if we accept Paul Grice's teleological conception (humans are goal-oriented beings), the correspondence theory of truth (there is a certain relation of correspondence between thought, world and language), and also accept Rom Harré's and Robert Brandom's conceptions, we cannot resign ourselves to the idea that a speaker simply utters an assertion without the intention to convince (produce a certain belief in) the hearer of its truth, or to produce a certain belief in the hearer regarding the assertion's truth. Potentially every assertion can be a conclusion of a certain argument, thus we have to accept the existence of some assertions (premises) that let us deduce the particular conclusion (and not any other) that we have arrived to. The fact that as speakers we are ready to make these premises explicit shows that we do not utter our conclusions by chance, but we have a certain goal in mind. Our utterances of assertions reveal that we are goal-oriented beings. In doubtful situations we can, and are ready to support our assertions with arguments, and in light of all this we cannot wholeheartedly accept the claim that as speakers when we utter an assertion we don't want/intend to convince our audience.

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ENVIRONMENTAL-EMBODIED EDUCATION: VIRTUES FOR SOCIAL HYGIENE AND SELF-ENJOYMENT

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ABSTRACT. Environmental-embodied Education: Virtues for Social Hygiene and Self-enjoyment. The contemporary debates concerning environmental education and ethics are continuously growing, developing new ways of perceiving the self in relation to the biotic community and to nature as a whole. Sustainability virtue ethics is a field that can provide a theoretical and practical structure for what it means to live a good and pleasant life, building attitudes characterized by caring, awareness, awe and responsibility. The aim of this paper is to draw a map of how to generate a context that facilitates a real transformation in the way individuals relate to nature, an education for empathy, with a sense of belonging and a maximum of adaptability. Based on my experience as an educator in a green school (Green School Romania) and as a researcher in the field of moral eco-pedagogy, I intent to talk about how environmental experiential education is an Archimedean point for what it means to develop a sensuous enjoyment and self-enjoyment in the biotic community, moving away from defensiveness and unjustified fears. In the context of risk management and long-term strategies for protecting and preserving the delicate equilibrium of life on Earth, environmental virtue ethics represents a necessary and helpful tool, based on interaction and on a focus on the process, discovering the miracle of being aligned with the rhythms of nature. This paper is designed to stand up against the instrumentalism and the dominant egoistic attitude of being above nature, trying to replace them with the attitude of fitting into nature with curiosity, simplicity and serenity. Using the model of moral eco-pedagogy (experiential learning about, for and from the environment) and non-violent communication, I will show that the individual begins to become that self that one truly is, a process of self- realization and engagement with an impact on how he relates to the moral patients and the natural world.

Keywords: *education, ethics, embodied, virtue, sustainability, outdoor*

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1. Introduction

I left the city behind forty minutes ago. I gently step on the ground, my skin has a delicate smell of grass and my thoughts are silent, deeply connected to all the roots of the oak trees I'm walking through. The geography of this place is kind of similar with the geography of my own soul. The whole atmosphere of this walk is touchy, refreshing and I feel my heartbeat being like a reflection of a drum I heard some time ago. All I want now is to be in a close connection with the rhythms and the dances of life, to avoid rigidity and to explore the ecstatic moments of delight that nature is giving to me for free. As a researcher but mostly as a living being, to be in direct contact with nature is a necessary requisite for loving it and for preserving its beauty and integrity. I like to be right in the process of exploring the life in nature, to face myself in different situations, to grow. The aim of this article is to draw a map of how to get closer to nature's rhythms, to learn how to understand and appreciate its complexity and to awake the ecological unconscious that provides our connection with our personal evolution here, on Earth. In the last three decades, the separation between man and the environment has continuously grown. In the same time, the physical and emotional problems have increased dramatically, and there's a large bibliography and scientific articles on this subject. I do not intent to repeat all the data related to this separation, but rather to show how things could be fixed. I do not expect to provide a solution to every problem people are facing concerning their relationship with the environment, but rather to simply describe some attitudes and methods inspired by the environmental-embodied education (or experiential-based education in the outdoors) that could successfully widen the perspective about the natural world and our role in the its dynamics.

2. What does environmental-embodied education wants to treat?

First of all, environmental-embodied education (abbreviated as EEE in this article) methods propose an opposition towards the ignorance related to the way we treat biodiversity. The loss of biodiversity is a real fact, being almost like an assault on the basis of life on Earth. We are facing natural disasters and threats because of the intrusive attitude man has razed the wild areas in order to create living spaces, but also agricultural activities which comes with the domestication of animals and crops. There is a crack into the circle of maintaining and preserve biodiversity because of the fact that the individuals do not realize that all our needs have nature as a source. As Barry Commoner claimed,

“We have broken out of the circle of life, converting its endless cycles into man-made, linear events: oil is taken from the ground, distilled into fuel, burned in an engine, converted thereby into noxious fumes, which are emitted into the air. At the end of the line is smog. Other man-made breaks in the ecosphere's cycles spew out toxic chemicals, sewage, heaps of rubbish-testimony to our power to tear the ecological fabric that has, for millions of years, sustained the planet's life.”¹

Our needs are infinite but the resources are scarce, finite. We have to recognize that nature is indispensable for human life, so it is rational, of all things, to identify the far measure of its use and to develop institutionalized but also personal models of education for develop ourselves in the spirit of an intelligent and sustainable moral of consume. The real change should make us to change us toe perspective on nature as something exterior to us, wild and dangerous, and to recognize the environment as a space which gives us resources and indispensable conditions of life. We are anthropic negative factors, even limit- factor, because of the huge destruction against nature, especially in the last two centuries. The evolving of species over millions of years is now threatened by a dangerous way of perceiving the environment only as a gift, for which we always seems to find good excuses for exploiting it. The extinction rate of all wary of species is now exploding and some scientists are talking about the sixth mass extinction, and it's not because of the natural climate changes, but is caused by us.

In his famous book *Sand County Almanac*, Aldo Leopold said that an action is right “when it tends to preserve the integrity, stability and beauty of the biotic community”.² The ignorance leads to the opposite values, to an intrusive attitude through which the natural world is placed at the periphery of our interests; satisfying all our needs become a priority, not just of those that are vital for surviving and human flourishing. The dissolution of ignorance can be done starting from the dissolution of the idea of separation between human being and the environment. A more accurate defining of the environment could probably help us to overcome the duality man- nature. The environment includes all that can be defined in relation and in contradistinction with people, and the problems related to the environment represent perception and action dysfunctions about the ways we act on ecosystems surrounding us, but also on those that we know less.

We need an essential dialogue with nature, not just a functional one. Dialogos = the presence of logos in every manifestation of life requires a dialogue structure with the natural world, and this should be an authentic one, not a

¹ Barry Commoner, (1972), *The Closing Circle. Nature, Man, and Technology*, Bantam Books, New York, 5.

² Aldo Leopold, (1949), *A Sand County Almanac*, Oxford University Press, New York, Oxford, 224–225.

domination and a submission one. Our presence in nature should connect us with something from our own nature. To invest in closeness to nature is an investment in our own moral, emotional and spiritual conformation of the self. The ignorance is capable of building a huge wall between the personal self and the world which it belongs to, and leads to an unrealistic view on our importance and role in the holistic image of the Cosmos. The closeness to nature is capable of healing the cultural and social autism individuals manifest stronger and stronger, a dysfunction defined by the feeling of isolation and loss, alienation and the decrease of sensory receptivity, the decline of emotional resilience and capacity of taking risks. In the same time, the cognitive overstimulation because of a more and more alert everyday rhythm of the *fast food, fast-love, fast-life society type* leads to a loss of the capacity to be aware, interested and curious about the aesthetic and spiritual beauty of biodiversity. Caught in the tiring dynamics of daily routine, individuals tend to become immune to higher emotions and thoughts, we lose our creativity and finally, our health. Obesity, myopia, concentration issues, aggressiveness, poor social-emotional development, depression, generalized stress- these are some of the diseases that are increasingly grow in recent years. These problems can be healed by a constant contact with nature and a lifestyle which opposes a sedentary life.

Another issue EEE has to treat is the way which we perceive ourselves in relation to the other people, with the moral patients and with the world as a whole. Education plays a crucial role in drawing of a wide and comprehensive image on the dynamics of life. In the same time, our lifestyle, our thoughts, values and attitudes are influenced and are influences the way we are positioning ourselves in the biotic community, and also the position we assume. It is more obvious that the man assumes the leader position, which implies domination and discretionary obedience depending on his needs. This aspect is not going to change in the near future and it is not necessarily wrong, as long as we can introduce here a logic of equilibrium between what we take from nature and what we give back to nature. Ignoring the natural rights of the other species leads to abuse, atrocities, extinctions and irreparable damages. The species coexist in biotic communities in which each part has a certain importance and role, from plants that give us oxygen to the bees which pollinate and keep alive biodiversity through their work, to animals who are making seed disperse by eating food.

The crisis of our perception on the world as a whole refers to the instrumentalist, mechanistic and reductionist way we divide the living elements of biodiversity in order to fit our needs. The perspective on human being should be, maybe, a more comprehensive one. Man is in essence an emotional, relational, contextual and ambiental being, belonging to both human and biotic community.

Ecological consciousness is not based only on rationality and an account of costs-benefits short-term scheme, but also on emotional intelligence (care, compassion, empathy, love and respect). On this line, it is really important to rethink about the role of emotions and values in the process of taking decisions and on the relation between ecology, economy and ethics, following a direction of real sustainable societies, not just slogan- ones. As long as we perceive ourselves as being consumers and having the right to discretionary aggress biodiversity, we will still be caught in a trap and we could tragically remain stuck in it.

Sustainable development and an assumed, genuine management on the way we live our lives involves a change from dependence to autonomy, from consuming to produce food and smart ideas for present and future. It seems that we often find convenient excuses for not being change factors and we neglect the negative impact of the social sedentariness. People should take action and start to develop a more sustainable and healthy philosophy on how they perceive the link between goods and the space from which they come. We are consumers, but we also can be producers. The value of work should not be underestimated, especially when it comes to food. The genuineness employer who gives us food and a safe place for personal and societal evolution is the Earth, the Sun, the mountains, the rain, the ground, and the authentic personal freedom should guide the individual to destroy the separation from the others and to inspire him to cooperate, to teach him how to value life or to teach him to recognize the value of work, friendships and solidarity. A healthy economy is one in which the people are producing in a sustainable way, based on their necessities but not on all their whims and hedonistic, materialistic pleasures. The rush for pleasure is the one that always keeps us unsatisfied. Education should make the individual being capable of taking decisions based on facts and a critical judgment of their way of goods acquirements, to teach them the importance of integrity and to accept and assume the responsibility for their choices. Unhappily, we are making this tasks incredibly difficult for ourselves.

Maybe we should get back the ability to create a safe space for listening our emotions, to integrate our needs in a healthy economy of using the resources and to learn how to integrate our intellectual awareness (defined in terms of curiosity, compassion, gratitude, the use of intuition and moral imagination, love) in action. A change of perception requires an attention on the state of *awakeness* (presence, attitudes, reactions, fluidity of the self and flow) and *awareness* (noticing the world and understanding how it works, in order to properly integrate oneself into the dynamics of life). Most of the people are scared of nature and feel confused when it comes to establishing a profound connection with it. Caught in the tyranny of immediate interests, we can hardly retrieve ourselves in a free nature, with a

preoccupation towards our self as a symbol for the love and care we have for the Whole we are organically identify. Accepting the fact that the interconnectivity connections are incorporate in the structure of our lives, then every part of this huge whole could be relationally defined through interrelated connections with the other parts, as long as the Whole has an ontological priority. This way, the care we manifest for ourselves and the natural world surrounding us identifies itself as a preoccupation for the natural world in its entirely complexity. We should have a more liberating life process, searching for an exit from static ways of perceiving life, and to rejoicingly reconnect to its organic rhythms and dances. Contemporary man is often unable to recognize the intrinsic value of nature (recreational, aesthetic, scientific, therapeutic and spiritual value) or its instrumental value (in terms of genetic diversity, symbolic and historic value) and finds himself alone, violent and selfish. He becomes alienated because he loses the ability of feeling and understanding the unity of all things, thus becoming conditioned, inert and confused.

The environmental embodied education (or environmental experiential education) and the virtues related to nature has to have the capacity and the power to awake the *thereness*, a term that defines the constant availability to be close to nature in order to protect and restore it when it needs to. This is the meaning for values in actions and it is essential for social hygiene both as individuals and as a community. The problem with formal institutionalized education is that it is too static and it's unable to provoke children and youngsters to explore, to touch, to feel, to smell and to express their curiosities. Nowadays, we face the phenomenon of criminalization of play and the obsession for order, organized play without the interactive experience. Nature is seen as something to travel to, always far away from our civilized world, an unfriendly space where every movement could potentially lead to a danger. The banking education in action is leading to less contact and a sedentary lifestyle.

The term of banking education was invented by Paul Freire in *Pedagogy of the Oppressed*, and it is characterized by an educational model where the teacher "talks about reality as if it were motionless, static, compartmentalized, and predictable".³ We live in the era of hyper-protective parents (or helicopter parents), also facing a tendency to reduce the space of freedom to explore and the "knew it all" state of mind, defined as a horizontal, superficial type of knowledge. The commodification of nature is increasingly develop in the mentality of the individuals, the sensory experiences are slowly decreasing and the individual becomes a bystander rather than an active participant to the process of discover the world. Robert Moore, professor at North

³ Paulo Freire, (2005), *Pedagogy of the Oppressed*, The Continuum International Publishing Group, New York, 71.

Carolina State University talks about the need of experiential experience with all our senses, claiming that

“Children live through their senses. Sensory experiences link the child’s exterior world with their interior, hidden, affective world. Since the natural environment is the principal source of sensory stimulation, freedom to explore and play with the outdoor environment through the senses in their own space and time is essential for healthy development of an interior life.[...] A rich, open environment will continuously present alternative choices for creative engagement. A rigid, bland environment will limit healthy growth and development of the individual or the group.”⁴

The development of inventiveness and imagination is related to the experiences in the outdoors, the natural space being suitable for exploring the beauty of solitude, serenity, contemplating the Space, giving significations for things and emotions, letting yourself being amazed and discovering the flavor of fully presence. Autonomy in education is vital for the individual to take the initiative, to become curious, interested, to search for the answers that fits his needs and to develop in his own rhythm, depending on the learning style, on the type of intelligence (according to Howard Gardner’s Theory of Multiple Intelligences) he manifests or on the languages of attachment. Contrariwise, in the model of banking education “the teacher acts and the students have the illusion of acting through the action of the teacher”.⁵ The students become passive actors and develop a tendency to take the information as it is, not being able to investigate the foundations of the world they are studying. Therefore,

“The more students work at storing the deposits entrusted to them, the less they develop the critical consciousness which would result from their intervention in the world as transformers of that world. The more completely they accept the passive role imposed on them, the more they tend simply to adapt to the world as it is and to the fragmented view of reality deposited in them.”⁶

An education model for understanding the natural risks and for an appropriate management of environmental issues requires a pedagogy of openness and interest, and this could not exist without an experiential model in which the child learns how to think, how to create and take decisions on his own. In order to understand the

⁴ Richard Louv, (2010), *Last Child in The Woods*, Atlantic Books, London, 66.

⁵ Paulo Freire, *Pedagogy of the Oppressed*, 73.

⁶ Paulo Freire, *Pedagogy of the Oppressed*, 73.

fundamental social, ecological and cultural principles, there is a need for creating pedagogical contexts capable of generating changes but also to keep alive the interest for exploring, encouraging the solitary experiences in nature and embracing the risk-taking processes. The real learning takes place by exposing the individual to the environment. In this way, he becomes more alert and aware of his body motions, of the thoughts, starting to have a better focus on oneself, developing motricity, starting to recognize the unjustified fears that he has to overcome. The ideas start to articulate more accurate and the individual realize that the quality of interaction is given by the availability of playing and allowing myself to be fluid, organic. Thus, the individual starts to use his enthusiasm and intelligence for his own growth, becoming more aware of his capacities and the value of the environment he is living in. In environmental embodied education, the educator intercedes the relationship between the learner and the outdoors, building a bridge between the observer and the observed object. In the dynamics of this relationship comes up the key of closeness, and the individual starts to accept himself with kindness, compassion and tenderness. Waking up the sensible nature in a mechanized man, the experiential education in nature gives the individual the possibility to place correctly to his needs, without creating damages to the others. As Holmes Rolston III claimed,

“Nature is a vast scene of birth and death, springtime and harvest, permanence and change; of budding, flowering, fruiting, and withering away; of processive unfolding; of pain and pleasure; of success and failure; of ugliness giving way to beauty and beauty to ugliness. From the contemplation of it we get a feeling for life's transient beauty sustained over chaos. There is a music to it all – and not the least when in a minor key. Though we are required to spend our lives in struggle, yet we are able to cherish the good Earth and accept the kind of world in which we find ourselves. *We are finding out who we are by finding out where we are and how we are emplaced there.*”⁷

Environmental- based education helps the individual to overcome his limits and to set up his “risk thermostat”, gradually learning what is safe and what’s dangerous, adapting, learning to interpret the signs and stimuli from the environment, having a positive attitude to changes and variable conditions. In nature, the individual meets himself in an hypostasis where he has to know himself better and to value the creative, emotional and physical potential. Multi-sensor experiences in nature are

⁷ Holmes Rolston III, (2005), *Environmental Virtue Ethics: Half the Truth but Dangerous as a Whole*, in Ronald Sandier, Philip Cafaro, (eds.): *Environmental Virtue Ethics*, Lanham, MD: Rowman and Littlefield Publishers, 64.

helping to build cognitive networks that are necessary for supporting the intellectual development. The culture of control and domination changed the perspective on education, making it more rational but less emotional, narrative and open to diversity. As Aldous Huxley said, “Literary or scientific, liberal or specialist, all our education is predominantly verbal and therefore fails to accomplish what it is supposed to do. Instead of transforming children into fully developed adults, it turns out students of the natural sciences who are completely unaware of Nature as the primary fact of experience, it inflicts upon the world students of the humanities who know nothing of humanity, their own or anyone else’s.”⁸ Based on my experience as an educator in a Green School in Romania, I will explain how we can replace fear with F.E.A.R (Feeling Excited and Ready,⁹) and how to discover and experience the state of flow, in terms that Mihály Csikszentmihályi defined it.

Last but not least, the environmental ethics needs some improvements for its theoretical and practical offer to become more attractive, with substance and meaning. We need more intelligent and adaptable ethics for present and future, and, as I previously said, there is a strong need for incorporating the emotional intelligence into the ecological consciousness. There has to be room for sensibility and joy in the discourse of the environmentalists and naturalists of all kind. Maybe we need a philosophy and an education of celebrating life, of discovering, appreciating and sharing our human and organic common roots. The academic discourse on virtues is sometimes too inflexible and rigid. The ethicist has to leave the heights of the institutionalized values that he is trying to explain, being unable to animate his discourse with his life and professional experience and with the joy of living what he preached. What is missing in the environmental ethics is the education and the models of exposing and active implication, a real commitment towards nature. The dance of imagination is dissolved by the rhetoric of arguments and metaphysical pies in the sky. Instead of convenient speeches, environmental ethics should propose a courageous exercise of education for closeness, to inspire and to produce an infrastructure of direct contact with the environment that stimulates the rise of ethical values and attitudes. Where there is no emotional investment, there is no substantial and lasting bond. There is a need for participative environmental ethics, with a current and extended perspective on the methods to incorporate theories and values into practice.

⁸ Aldous Huxley, *The Doors of Perception*, 22–23.

<https://www.maps.org/images/pdf/books/HuxleyA1954TheDoorsOfPerception.pdf>, accessed 21 March 2018.

⁹ Term used by Neale Donald Walsch in his book, *When Everything Changes, Change Everything*.

The time for systematic exposure of theories has gone, it is time for intelligent, courageous and innovative ethics for the environment, where the criticism to be really constructive, where the anxieties related to climate changes to be treated with real and viable solutions. It is really important for me to note that learning is not necessarily the result of teaching good advices and theories, but rather we should understand life, connections and facing fears of strengths as educational experiences. As Ivan Illich said, “most learning happens casually, and even most intentional learning is not the result of programmed instruction”.¹⁰ As a conclusion to what I previously expose, environmental ethics should meet experiential education for better and valuable results, not only at a level of intellectual acquisitions of values, but especially on the level of individuals’ cognitive and emotional evolution mechanisms.

3. Which are the instruments EEE is working with?

The most powerful instrument that is able to provide solutions to the problem of deficient communication of man with his own nature and the environment could be the environmental-embodied education (or experiential-based education in the outdoors). I already established that the ambient problems have, on the core, some difficulties of understanding of the place and the role of our species in the biosphere. Just as Peter Jones said,

“while technological development has greatly increased our ability to have an impact on global ecological processes, in every real sense we remain simply a single species in a complex ecological web, joined in myriad relationships with other species, and with nonliving components and systems within the ecological whole. [...] It is our perceived separation from nature, a form of environmental alienation, that lies at the heart of the ecological crisis. In this sense, it can be argued that we have lost sight of our place in the natural world and, perhaps most important, lost the sense of connection, of relationship to the other parts of the web.”¹¹

For recognizing the environment as a factor for social, emotional, physical, cognitive, emotional and moral development there is a need for a bridge to facilitate a certain type of profound communication between the individual and the surroundings.

¹⁰ Ivan Illich, (2000), *Deschooling Society*, Marion Boyars Publishers Ltd; New Edition, 12.

¹¹ Peter Jones, (2010), *Responding to the ecological crisis: transformative pathways for social work education*, Journal of Social Work Education, vol. 46, no. 1, 71.

Environmental embodied education, a pedagogical model I am going to detail in the following, is a transformative pedagogical design. My transformative education and learning model is based on Jack Mezirow's considerations, who claims that this educational approach is "learning that transforms problematic frames of reference- sets of fixed assumptions and expectations (habits of mind, meaning perspectives, mindsets) – to make them more inclusive, discriminating, open, reflective, and emotionally able to change".¹² Transformative education propose a critical reflection exercise manifested in two distinct directions: a critical reflection on other people's assumptions (an objective orientation of the reflection) and one that is addressed on the self (a subjective orientation, which implies a research of the validity of personal assumptions related to our personal relationship with the environment). In *Responding to the ecological crisis: transformative pathways for social work education*, Peter Jones says that

"encouraging students to critically consider the assumptions, values, and beliefs of modernity, and the ways in which these are implicated in the current ecological crisis, will be an essential step in developing a new worldview. equally important, however, will be creating the space within which students can reflect on the ways in which the presuppositions of the dominant paradigm have shaped their personal worldviews and their own values and beliefs, particularly the way in which they see their relationship with the nonhuman world".¹³

There is a need for reexamination of the assumptions we usually use when we face the natural world, together with an orientation towards moral values and principles (for example: the oral principle of justice, of caution, of subsidiarity). The process of self-discovering, with an healthy growth and a realistic image about our place in the world is not a difficult one, if we assume a type of education for honesty and dialogue. Also, "the containerized kids" (accustomed with the indoor spaces) need to be released, and the model of environmental embodied education could open the doors of perception for them. As Ionescu and Glava claimed,

"starting with these ages, at the school curriculum level, many highly valued school subjects include abstract, depersonalized and decontextualized learning contents, associated with education as symbol manipulation. Most of the school contents are emptied by the aspects that could physically, emotionally or creatively

¹² Jack Mezirow, (2003), *Transformative learning as discourse*, Journal of Transformative Education, 1(1), 58.

¹³ Peter Jones. (2010), *Responding to the ecological crisis: transformative pathways for social work education*, Journal of Social Work Education, vol. 46, nr. 1, 74.

involve students in the construction of meanings. Students tend to not recognize the relevance of the academic contents for real life problem solving, and even though sometimes they are successful with this type of learning, the results prove not to be persistent in time or transformative.”¹⁴

So, what is the environmental embodied education? Let’s begin with some words of John Rich, who described an adequate image of it, proposing an imaginative exercise:

“I imagine a classroom that turns outward, both figuratively and literally. The grounds would become a classroom, buildings would look outward, and gardens would cover the campus. The works of naturalists would be the vehicle by which we would teach reading and writing. Math and science would be taught as a way to understand the intricacies of nature, the potential to meet human needs, and how all things are interlaced. A well-rounded education would mean learning the basics, to become part of a society that cherished nature while at the same time contributing to the well-being of mankind.”¹⁵

So, experiential learning in nature is learning by doing, a process in which the learners are immersed into the experience, then they have a reflective observation, followed by an abstract conceptualization on what is relevant to learn from the experience (in terms of rules, values, attitudes) and the active experimentation of testing the values and concepts. The experience-based education is a learning process in which the subject is directly in touch with the reality being studied. On the basis, this education model is based on the constructivist theory of learning, in which the truth is independent from experience, but it has to be inferred by a reflection and an observation process. The knowledge is not a product but a process, and the ideas are continuously refreshed through the experience, as a fluid movement. The body of knowledge becomes a process of transaction between personal knowledge and social (exterior) knowledge, the environment becoming a pedagogical instrument, with a strong social and cultural value. Here are some of environmental- embodied education’s features:

- a) The learner is directly participating to the learning experience, rather than being just a spectator or a passive information receiver (like a data warehouse).
- b) The learning activities requires personal motivation, invested energy and responsibility for the learning process.

¹⁴ Thea Ionescu, Adina Glava, (2015), *Embodied Learning: Connecting psychology, education and the world*, Studia UBB Psychol.-Paed., LX, 2, 5–17, 7.

¹⁵ Richard Louv, (2010), *Last Child in the Woods*, 136.

- c) The learning mechanism has to contain a mixture of both process and content, has to make sense and to be real in terms of consequences for the learner. The learning process has to be relevant, to feed learner's interests and to be provocative enough to stimulate, but not too difficult because it will have a demotivation effect.
- d) Lack of criticability from the others. The learning space has to be a physically and emotionally safe space for exploration, with a sense of support, acceptance and non-violent communication. The excessive judgment leads to a decrease of the levels of interest for the studied object and an growing rate of the dissatisfaction and stress. The methods of communication that fits in this pedagogical structure is non-violent and empathic communication, based on emotional intelligence as a basis for cognitive acquisitions, on cooperation and respect. In the same time, a dissonance in the way individuals perceive and act in the environment is able to potentially stimulate them to explore and take the risks on their own. The learning process is truly enhanced when individuals are given the opportunity to operate outside of their comfort zones. A reality that is perfectly predictable does not stimulate the individual to face obstacles and to properly manage the risks. Also, the freedom and the independence of the learner tends to decrease, together with the decline of emotional resilience. Obsessively over-protective parents are slowly destroying the development of children's autonomy, structuring their free time but potentially killing the necessary dreamtime and solitude moments. In an era of too much control and of a rush for performance, free time is becoming a luxury. Environmental-embodied education allows the individuals to discover the beauty of nature in their own rhythm, to take their time for identifying patterns in the environment and to act responsibly, according to some principles and environmental values discovered by them and abstracted with the facilitator. A flourishing life implies a creative adaptation to the variables of the surroundings. An essential fact in environmental-embodied education is that the facilitator guides rather than telling the learners what to do; his job is to help individuals to understand why their actions are valuable and which are the consequences of certain actions. The communication model is clear, without reprovals and threats. The moral subjects learn how to become courageous and honest by facilitator's courage and honesty. Because playing is the way the children learn better, the facilitator is supporting the children to explore, to enjoy and to be amazed by the variety of natural surroundings' beauties. Just as Rabi Martin Levin claimed in Richard Louv's *Last Child in*

the Woods, “our goal should be to live in radical amazement. Everything is phenomenal; everything is incredible; never treat life casually. To be spiritual is to be amazed.”¹⁶

So, in environmental- embodied education me and the children from Green School are watching through magnifying glass the motion of ants on the ground, we analyze plants’ growth and have our own pedagogical garden. The children explore and refine their senses in the sensory garden, make environmental art, they eat and have the possibility to sleep outside in an oriel, the relax in the hammocks, observe the clouds and discover the dynamics of weather and temperature, they weekly clean up the shore of Somes river near our school and learn about anthropic impact on species and natural habitats, they find worms and manifest awe and wonder towards them, they learn to cook, to take care of animals and to value the potential of honest and empathic dialogue, developing a broader holistic perspective on things. Through empathic communication, they start to express a rational thinking, in which their wills and needs are expressed in terms of preferences (“I wish, I will do my best to get this...”) but non catastrophic (“It has to happen!”), learning how to have realistic expectations. This way, the individuals (children in this case) start to assume the virtue of simplicity, with a rational and a limited use of external goods in order to reach happiness; they rather discover the importance of temperance and the value of *soft-fascinations* (sunsets, the movement of snow-flakes through the air, the heat waves of the sun touching the ground). Using this approach, the children will develop a sense of belonging and a softness in treating themselves and the others, restoring and appreciating nature while they restore and appreciate themselves. Just as in the triadic structure of happiness, developed by the psychologist Martin Seligman, through EEE, the individuals cultivate an appetite for exploring the activities that bring a pleasant life, learning to be aware of their strengths, being implied in self-efficacy activities and learning to be consistent in their values. Also, they tend to feel more comfortable in intimacy, with a higher appreciation of solitude, without the fear of being abandoned or unloved.

4. What results in terms of values, virtues and attitudes does EEE provides?

From the authentic interaction with the outdoors we can get the resources for redefining the values that guide our lives, having a more profound image of the way natural elements work and discovering the joy of being surrounded, starting to

¹⁶ Richard Louv. (2010), *Last Child in the Woods*, 292.

feel and show respect for all living beings. The quality of interaction between man and the environment modifies the internal structure of the individual, this one starting to be rightly oriented to nature, a virtue involving an

“indefinite range of reasons taught for responding, in the broadest sense, to nature, in certain ways. These include, at least, wondering at, looking hard at, finding out more about, rejoicing in, understanding why other people spend their whole lives studying, being anxious to preserve, not dismissing or ignoring or destroying or forgetting or assuming one can always put a price on...everything in the natural world.”¹⁷

The individuals discover that they are part of something bigger than their own personal space of interests and become more interested in admiring, preserving and restoring nature, as a gesture of an intrinsic architecture of self-care. EEE is a shout against the indifference, its methods of closeness to nature teaching them to correctly position towards their needs without being greedy. An education for a better fit into natural world is one that teaches individuals how to assume the happiness of living without creating damages. The greatest advantage of this education model represent the fluidity of the self, with curiosity and awareness. Just as Carl Rogers said in *On Becoming a Person*, the widen of perception through the concrete experience help the person to become “more able to listen to himself, to experience what is going on within himself. He is more open to his feelings of fear and discouragement and pain. He is also more open to his feelings of courage, and tenderness, and awe. He is free to live his feelings subjectively, as they exist in him, and also free to be aware of these feelings.”¹⁸

Therefore, the person become to understand the value of exploring nature by himself and to be richer in experience, not to validate it through some concepts or theories. If the moral or spiritual master is the one that is able to stimulate the discover of truth and beauty that was in the intimate personal world of the individual from the beginning, then natural world is truly a link between the complex parts that makes the individual to become that self that one truly is. The self-confidence arises from the confrontation with the imposed limits, so the dissonance that is created by an unfamiliar environment and a certain level of perceived risk leads to an increased intensity of activating intrapersonal and interpersonal processes.

¹⁷ Rosalind Hursthouse, (2007), *Environmental Virtue Ethics, Working Virtue: Virtue Ethics and Contemporary Moral Problems*, ed. by R. L. Walker, P. J. Ivanhoe. Oxford: Clarendon Press, 167.

¹⁸ Carl Rogers, (1961), *On Becoming a Person*, Houghton Mifflin Company, Boston, 188.

We often have the idea that for surviving we have to compete, to fight, to show that we are better than the others (survival of the fittest). Maybe we should make a switch to real cooperation, dialogue, eating and celebrating friendships together, adapting together and creating nature-smart communities, with people able to discuss and be interested in producing food and values, minimizing the negative impact on the natural environment. The power and the value of a society relies in its capacity to become a potential moving solution, fighting against the indifference, discrimination, violence and conflict. For reaching this state, there is a need for an education against delusion and, maybe, a step back in order to retrieve the natural closeness for the organic from we are made by, too. Or, in David Thoreau's words,

“Let us spend one day as deliberately as Nature, and not be thrown off the track by every nutshell and mosquito's wing that falls on the rails. Let us rise early and fast, or breakfast, gently and without perturbation; let company come and let company go, let the bells ring and the children cry – determined to make a day of it. Why should we knock under and go with the stream? Let us not be upset and overwhelmed in that terrible rapid and whirlpool called a dinner, situated in the meridian shallows. [...] Let us settle ourselves, and work and wedge our feet downward through the mud and slush of opinion, and prejudice, and tradition, and delusion, and appearance.”¹⁹

5. Conclusions

Maybe, just as Antaeus, the mythological figure who used to win a battle as long as he remained with his both feet on the ground, the man remains morally creditable as long as he is not taking his hands off the world he's living in. When his attitude towards nature become intrusive, the whole structure based on his capacity to moral self-legislation dignity and rationality will fall. The ecological crisis represents a crisis of perception about the habitation of the moral subject in a world that he received as dowry. Cultivating a moral of care, based on empathy and strong relationships- this is a promise for present and future generations to have a better place to live and a manifest against dangerous overconfidence, ignorance and anthropocentric approach. As Stegner Wallace memorably said,

¹⁹ Henry. David Thoreau, (2004), *Walden, or Life in the Woods*, The Internet Bookmobile Edition, Text from the Library of America Edition: *A Week on the Concord and Merrimack Rivers*, 73. <https://azeitao.files.wordpress.com/2007/05/walden.pdf>, accessed 21 March 2018.

“Something will have gone out of us as a people if we ever let the remaining wilderness be destroyed; if we permit the last virgin forest to be turned into comic books and plastic cigarette cases; if we drive the few remaining members of the wild species into zoos or to extinction; if we pollute the last clear air and dirty the last clean streams and push our paved roads through the last of the silence, so that never again will Americans be free in their own country from the noise, the exhausts, the stinks of human and automotive waste. And so that never again can we have the chance to see ourselves single, separate, vertical and individual in the world, part of the environment of trees and rocks and soil, brother to the other animals, part of the natural world and competent to belong in it. [...] So, for the sake of our own identities, of being who we are where we are, of being at home in the world, we need to maintain the integrities of the fauna and flora on our landscapes. Else we will become strangers to our places; we will be misfits, upsetting residents. We reach the truth that we are embodied persons.”²⁰

Environmental-embodied education represents a removal of the individual from his comfort zone and a refreshing offer for our civic culture. The effort of a critical evaluation of the assumptions we use in our lives may be a huge and difficult challenge and, therefore, we usually try to avoid it. But the beginning of every possible change is the meeting of the individual with himself in a lucid and unconcealed manner. *Gnōthi seautón* – know thyself, the ancient greek aphorism that once was inscribed on the Temple of Apollo at Delphi, it’s an advice for moral hygiene that EEE tries to adopt and practical implement through the variety of its methods. This is, maybe, a part of the geography of hope Wallace Stegner was talking about, and a self-loving strategy for a flourishing life seen as a harmonious cohabitation with nature, with the Cosmos.

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²⁰ Wallace Stegner, (1961), *The Wilderness Idea, Wilderness: America's Living Heritage*, ed. David Brower, San Francisco: Sierra Club Books, 97–102.

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THE DIMENSIONS AND THE AFFINITIES OF THE GAME

RAMONA NICOLETA ARIEȘAN*

ABSTRACT. *The Dimensions and the Affinities of the Game.* Two people cannot be replicated. But they can have common points in life, such as social aspects or others regarding their sentimental life, their artistic one, their spiritual one and from these we can see how everything comes into place and forms their unicity. It evolves on their personal style, on the character, perceptions, visions and also in the person they aim to be. So, the game expresses, no matter what dimension we are considering, that the vision is a concept which indicates both clarity and perspectives between us and our own selves. It can be deformed and transposed into something that actually exists. We are talking about dimension, game, self-being, affinity and the intangible present.

Keywords: *game, dimension, perception, art, philosophy*

The game as a key symbol between the artist's creation and aesthetic

Both in art and philosophy there are invisible or subtle under layers, that we are not always aware of, which can be both tangible or intangible. We cannot say that something is incomprehensible, because of the fact that the nature's game itself, which is a pure fundament of life, defines it as being an action in which the participants know the rules, know the way in which the events are developing and almost all of them have the same objective. "Culture, however, exists as a form of communication, as a game whose participants are not subjects, on the one hand, and objects, on the other."¹ No matter if we are in it as a spectator or as an artist, the scene offered by the game does not make any kind of discriminations, but on the contrary, it supports us on our journey to find who we really are, it supports us when we are trying to find our way towards that common objective but most

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¹ Hans-Georg Gadamer, *The Beginning of Philosophy*, Continuum, 2001, p.31.

importantly, it supports us as we try to transpose ourselves in our own skin, our own self-being and also get rid of any masks that might be just an impediment and simply will not let us fully enjoy this amazing experience. The pure connection between pain and pleasure can be even more commune that we could possibly think. We ought to say that we cannot see the world through someone else's perceptions and perspectives. But I still believe that we possess, of course, at some point in our lives, the rough material required to commit at some points, different act, or maybe just don't feel real love anymore? We really just need the right or the wrong combination of events to make this rough material combustible. Regarding our own perspectives and perceptions from which we see things and objects, I believe we can all conclude that everything changes in the end.

It is the tyranny of hidden prejudices that makes us deaf to what speaks to us in tradition. Heidegger's demonstration that the concept of consciousness in Descartes and of spirit in Hegel is still influenced by Greek substance ontology, which sees being in terms of what is present, undoubtedly surpasses the self-understanding of modern metaphysics, yet not in an arbitrary, willful way, but on the basis of a "fore-having" that in fact makes this tradition intelligible by revealing the ontological premises of the concept of subjectivity.²

In our day to day lives the game has a very important role, which can actually be both a constructive and a destructive one - and when I say destructive or make a reference towards this word, we will take into consideration a few key factors which are going to influence, in a subtle way the pure journey of this life, the bonds between us as human beings, as persons, as individuals...but the game's dimension, whether it is a metaphorical or a philosophical one or an artistical one, along with those belonging to the hermeneutics, in some instances at least, starting with the past moving through the present and aiming towards the future, are passing us through those certain images that belong to a life which closes up and dissolves itself just like it would have been in a hallucinogenic or febrile condition or state of mind – which could represent the agreement between agony and ecstasy. Maybe for some of us, the memory of this game is just a huge gap that they feel, without differing it from what is ephemeral or playful, which in one way or another belongs to the soul or to something that is timeless and also contains element that make it a continuous presence.

The task of historical understanding also involves acquiring an appropriate historical horizon, so that what we are trying to understand can be seen in its true dimensions. If we fail to transpose ourselves into the historical horizon

² Hans-Georg Gadamer, *Truth and Method*, Continuum Publishing Group, 2004, p. 272.

from which the traditional text speaks, we will misunderstand the significance of what it has to say to us. To that extent this seems a legitimate hermeneutical requirement: we must place ourselves in the other situation in order to understand it.³

The dimensions attached to the absolute game have the ability to spread to so many different, complementary or even contradictory fields. But we can also encounter them in our day to day life where the game is a fundament. Also, they can be noticed in our way of communication, between the artist and the spectator, between the spectator and the work of art and even between the artist and his work. We can also notice them in the form of a process that reflects the way in which various actions take place, but sometimes even in the form of limits, showing the inferior or superior margins of our interactions but also our limits as human beings, limits that sometimes have to be overcome in order for us to be able to really find ourselves. "It comes as a surprise when we discover that the most important dimension of human thinking opens itself up in this beginning."⁴

These dimensions also place the game along with us at a specific time and in a concrete space. The game is both a well-structured and a free action at the same time. It offers both an individual reward and a multiple reward (often the personal joy becomes the joy of the group we associate with, or that we have formed and defined through the game). The game is found in areas such as philosophy, art (where it is a defining element as far as the creativity capacity and the freedom of imagination are concerned), but also in other fields such as psychology, pedagogy, economics, politics or even physics, where many times huge discoveries have been the result of a pure game (because we make ourselves self-serving, we want to be better and move from theoretical to practical).

The concept of play, which I wrested decades ago from the subjective sphere of the "play impulse" (Schiller) and which I employed to critique "aesthetic differentiation," involves an ontological problem. For this concept unites event and understanding in their interplay, and also the language games of our world experience in general, as Wittgenstein has thematized them in order to criticize metaphysics. My inquiry can appear as an "ontologization" of language only when the presupposition of the instrumentalization of language is left completely unexamined.⁵

³ Gadamer, *Truth and Method*, p. 302.

⁴ Gadamer, *The Beginning of Philosophy*, p. 18.

⁵ Gadamer, *Truth and Method*, p. 561.

We will try to emphasize not only the possibility of our existence through the game but also of an infinite multitude of universes in which it is reflected. This theme is built not only on the idea of exchanging information between three different directions being perceived as an integrated one. The relationship between dimension, affinity and game is thus not only transferred but also transposed, either by abstraction or by association.

The man of the world, the man who knows all the tricks and dodges and is experienced in everything there is, does not really have sympathetic understanding for the person acting: he has it only if he satisfies one requirement, namely that he too is seeking what is right – i.e., that he is united with the other person in this commonality.⁶

Everything can change according to perceptions, rhythms and directions. The distances and closeness of dimension and affinity in the context of the game can be subjectively appreciated or taken in a different form. But the most important thing is the conceptual link between them. Perhaps it remains only a succession of time and generations, visions and perspectives (for Plato, for example, every individual must enjoy life “playing the most suitable games” for Schiller, a man is a complete man only when he plays what we call life and for Gadamer the game leads to a certain self-knowledge, thought of as “self-representation”, while Huizinga considers the game to be represented by transcendence and alterity, compared to ordinary, common or ordinary life; but there are also negative perspectives on the game, such as Roger Caillois, who does not consider it a problem but actually seeing the game as a degradation of any adult activity).

The game as a subjectivity vs the ontological game

This theme is part of a spectrum not only creative but also considering the fundamental questions and considerations. Since art and philosophy are two wide and prestigious domains, it is likely that for several decades we would have to ask ourselves the question: what is their importance? Perhaps the lack of experience or circumstances goes beyond research and understanding.

Every appropriation of tradition is historically different: which does not mean that each one represents only an imperfect understanding of it. Rather, each is the experience of an “aspect” of the thing itself. The paradox that is true of all traditional material, namely of being one and the same and yet of being

⁶ Gadamer, *Truth and Method*, p. 320.

different, proves that all interpretation is, in fact, speculative. Hence hermeneutics has to see through the dogmatism of a “meaning-in-itself” in exactly the same way critical philosophy has seen through the dogmatism of experience.⁷

We all start alive, at an intuitive moment, towards something. Thus, regardless of the dimensions or the affinity, this concept is already so specific, not only in the history of art but also in philosophy. Man is transposed and merged with the effect of the game, competing with what he is, what he thinks will happen, or how his perspective will change. Space and balance point us towards a possible abstract or we should say towards a possible abstraction, but human reason and Kantian perception of the game lead us to other perspectives. It gives us the opportunity to observe, at certain times, the particularities of both the character and the spectator.

According to Plato’s perception, we are really dealing here with consciousness, with the power of identifying. Thinking is always identifying, but it is also a self-movement. Thinking is also always an action, something flowing in time in such a way that temporality is contained within identity throughout.⁸

Even though there are some discrepancies around the game, both affinity and size not only bind, but also collect or break the past or present. There will always be a discrepancy between the artistic and philosophical interpretations, since they each deal directly or indirectly with the situation itself. The perceptions change according to us and we according to them. In this profound journey of transfiguration of both internal and external phenomena, the leitmotiv will always remain the game and its transposition without abandoning the desiderate of integrated or unintegrated plenitude, holding a compositional framework. Both the subject and the spectator can share the recurrence of the reason.

What we mean by “representation” is, at any rate, a universal ontological structural element of the aesthetic, an event of being—not an experiential event that occurs at the moment of artistic creation and is merely repeated each time in the mind of the viewer. Starting from the universal significance of play, we saw that the ontological significance of representation lies in the fact that “reproduction” is the original mode of being of the original artwork itself. Now we have confirmed that painting and the plastic arts generally have, ontologically speaking, the same mode of being. The specific mode of the work of art's presence is the coming-to-presentation of being.⁹

⁷ Gadamer, *Truth and Method*, p. 468.

⁸ Gadamer, *The Beginning of Philosophy*, p. 67.

⁹ Gadamer, *Truth and Method*, p. 152.

The unmistakable difference between the mizanthrop and the common man restrains an almost alert, unmistakable and focused style on the ability to synthesize the form of feelings. When there is a resonance of the context that transforms both size and affinity, the rest of the spectators remain neutral. For some, this resonance is probably a minor reason. However, both the dimensions of the aesthetics and of the game's representative can touch not only technically but also aesthetically the boundaries of a knowledge oriented towards a more diverse amplitude that can define us. Visible or invisible, we are all releasing a certain retreat by interpreting and re-interpreting the game. Some of us have a fluidity of these contours in which the art critic becomes a personalized character, the spectator translates into the artist and the artist into the spectator. The effect is initially filtered but this process continues, and first of all, by an inner, soul-trigger that will transpose itself into other states or feelings, actually derived from a set of personalized principles.

This is the skill, the knowledge of the craftsman who knows how to make some specific thing. The question is whether moral knowledge is knowledge of this kind. This would mean that it was knowledge of how to make oneself. Does man learn to make himself what he ought to be, in the same way that the craftsman learns to make things according to his plan and will? Does man project himself on an eidos of himself in the same way that the craftsman carries within himself an eidos of what he is trying to make and embody in his material?¹⁰

There will always be sublime controversies or sublime substrates that emphasize, that highlight and extract all of these concepts that we find integrated with authors such as Gadamer, Heidegger, Barthes, Descartes, etc. Perhaps the delight of the past is in the absolute present, full of values whether modified or unattained, by exception or obligation. What today, by a simple definition, is presented to us as a relatively defining instrument for human nature, may not have started from this status. A pure, intimate, sublime idea that develops the imagination and the game, the true essence but also the inner enigma at the same time...we probably find it in philosophy, metamorphosed in one form or another, and in art.

The reason for this is that we are dealing here with the logos, with the famous turn to the logoi. In Socrates' eyes, the linguistic universe possesses more reality than immediate experience. So, just as the sun – according to the famous metaphor – cannot be observed directly but only on the basis of its reflection in water, whoever who wants to get information about the true nature of things will achieve clarity sooner in the logoi than through deceptive sensory experience.¹¹

¹⁰ Gadamer, *Truth and Method*, p. 313.

¹¹ Hans-Georg Gadamer, *The Beginning of Philosophy*, p. 53.

We are defined by the decisions we make, and the decisions are supposed to shape us in an absolute and irrevocable way. Perhaps no one can provide an exact definition of our states or moments that we experience.

No moment of this work is so perfect or successful that it is immune to either misunderstanding or reasonable criticism. To live with this realization is far from easy. The frustrations provoked by the finitude of all interaction, and of every effort to achieve a stable and fair political society, regularly tempt us to curtail, if not to abandon, the work of seeking mutual understanding and common purposes. Yielding to this sort of temptation would amount, in practice, to giving up on the hospitality needed to make power-in-common prevail, as far as possible, over domination.¹²

But, from the game's point of view, this seems to be a paradox in some form, a kind of vortex either real or imaginary created by sound or by images...a repetitive pattern of vibrations caused by the circuit of perceptions, which implies or defines either an instant lock or chain or on the other hand a complete detachment in the end. Life, as a picture, the process as a destination, implies an underlying or adjacent formalism without a media discourse, whether known or unknown to us, to the participants of the game. Everything we do in a singular form is in our own interest. But many times, even unconsciously, what we seem to do for us, we eventually end up doing others.

Ricoeur considers human beings not only as active, but also as enduring, as suffering from the actions of others. The body in this respect appears not as the capacity for action, but as passivity. For instance, in the case of physical pain, the body forms a passivity. It prevents me from performing the actions I would like to undertake, and can make me experience that my self does not coincide with my body, in the sense that I want something else than my body allows me to do.¹³

And if we look at the theme of this article from this angle, then we can say that we are indeed participants in at least one game, outside the defining one called life. It is as if we are living on a stage where the immediate form takes shape no matter what the imminent end is or might be, no matter what happens in the course of a lifetime, no matter how it changes everything that represents our human inventory and everything embedded in our perceptions and visions.

¹² Gadamer and Ricoeur, *Critical Horizons for Contemporary Hermeneutics*, Continuum, 2011, p. 195.

¹³ Gadamer and Ricoeur, *Critical Horizons for Contemporary Hermeneutics*, p. 213.

In the on going, open-ended process of dialogic play and the unfolding of truth that occurs in it, there are stages of agreement, of reconciliation, and of shared understanding, which ultimately give way to new questions, new confusions, and new disagreements. As Gadamer's rather hopeful and optimistic philosophy of understanding teaches us, these ruptures, which occur in our efforts to grasp some subject matter, are themselves always open again to being bridged, mediated, and reconciled.¹⁴

By eliminating the paradox in which we live, we succeed in removing and dissolving the barriers between real and unreal, between the everyday and a dream world (composed of art, music, literature, philosophy, etc.), we can move into another dimension, being at the same time anchored in reality. We have the opportunity to escape from a deserted world in which the mizantrop lives in a game expressed through art, so affinities become something that goes beyond any immutable truth. There is however, regardless of affinities and dimensions, an inner logic, a consistency of experiences that is reflected through the game, forming an un-uniform and complex spectrum.

This division, spanning such a spectrum of social contexts, is all the more troubling as we recognize the necessity of cultivating more and more fully a global community that can deliberate and act upon shared concerns (concerns such as the health of our environment, human rights, a world economy, depleting natural resources, disease, protecting ourselves from nuclear or biochemical destruction, etc.). In the face of this contemporary demand, we find ourselves confronted with the pressing questions: What causes dialogue to break down? And, what do we do once it has? On the eve of the oft-repeated "time for change," my hope is that we are ready to seek an answer.¹⁵

Conclusion

A first private idea that develops both the imaginary and the game, the essence and the inner enigma could be found in philosophy and art, in images and in texts. Life, as an image, the process visualized as destinations belonging to a specific subjacent formalism without a proper mediator speech, even if it is known or unknown, the immediate receives forms no matter what the ending or the realization of the self-claimed inventory of our own perceptions might be. And this applies to the next moment of our existence, regarding its defining aspects.

¹⁴ Monica Vilhauer, *Gadamer's Ethics of Play*, Hermeneutics and the Other, Lexington Books, 2010, p. 94.

¹⁵ Vilhauer, *Gadamer's Ethics of Play*, Hermeneutics and the Other, p. xi

The connection between pain and pleasure is far more commune than you think. That's why the mind is the most erotic organ of the body. I am wondering... which one worked its way into your mind, which kept you up at night? The triple in us is maybe looking for the cripple into another. To smile when you feel incapable of smiling and if you can empathize with that you know this better than most: everything happens with most of them, rather than how society formed her or him. You might say you cannot see the world from the perspective of somebody else. But I believe that we possess the rough material required to commit, at some point, different acts or just don't feel any kind of emotions, to just retrieve us and keep all there is inside. We just need the right or wrong combination of events to turn this rough material into fuel, to make it combustible.

Gadamer recognizes that, if the "truth" that he claims is "known" in our extra-scientific experiences is going to be philosophically legitimated as real, genuine truth, then what is required of him is a deeper investigation into the phenomenon of understanding itself. Because the narrow, modern scientific conception of "knowledge" does not account for the broader scale of experiences in which we undergo the transformation of coming-to-an-understanding, and so misconceives the true phenomena of understanding itself, Gadamer sees that we are in need of new and more accurate notions of knowledge and truth.¹⁶

Whatever we do, we do it for us or for others. We are defined by the decisions that we are making and vice-versa, it is thought that they define us, in such profound and irreversible way that nothing could counteract this. Still, I do believe that no one can literally define what we experience. Although, in one way or another, some kind of vortex imaginary or real, made up of sounds or images, or just a repeated pattern of vibrations caused by our circuit of perceptions could assume or define an instant blockage or even a complete detachment from whom it was originally created by or from its original form of being (its true self).

In Gadamer's discussion of the way in which understanding always involves both interpretation and application, he has been preparing us to recognize the way in which the knowledge that occurs in the human sciences, and in the totality of our experiences of the world in general, is much closer to what Aristotle calls "practical wisdom" (*phronesis*), than to the methodological knowledge of modern science.¹⁷

I am wondering how it would be if we could realize and comprehend everything, and when I say everything I really mean it, everything that we do or chose to do, everything that happens to us or involves us and might look like a plain

¹⁶ Vilhauer, *Gadamer's Ethics of Play*, Hermeneutics and the Other, p. 5.

¹⁷ Vilhauer, *Gadamer's Ethics of Play*, Hermeneutics and the Other, p. 121.

coincidence? How would we react based on our personal perceptions however exuberant or unmodified they might be? If even the personal exposure, regardless of its shape, modified more or less, due to certain triggering factors that do nothing else but to unleash an invisible plenitude, destroys us or approaches us?

But this is just the starting point. The first step towards comprehension. The moment when the one lost into his own consciousness begins a fight with his own self, trying to absolutize knowledge and that subordination regarding a process of recognition, or should I say self-recognition, sustained by a person dispersed in itself and in his mind. A sudden and adjacent, elemental and profound interpretation is the basis of psychic and physical transcendence. A conscious organization of a phenomenon involving a certain level of knowledge and a philosophy that expose explicitly the orientations that organize a psychic and spiritual structure at the same time.

Here too we are presented with some outline of phenomena, some account of the way things are for us, some philosophy—this time with regard to the way understanding works. Just like Aristotle’s sketch of how virtue is cultivated, this philosophy has been drawn from concrete experiences or practices—in this case practices of interpretation and instances in which the phenomenon of understanding has occurred. Here too, we are offered a philosophy regarding our practices, which will find its full meaning and truth in our application of its truth back in our own practices.¹⁸

By manifesting any complex or infantile approach, we see that the organization of the psyche transforms any relationship into something more joyful than it seems to be, and the meaning of refutation or suppression attracts and ensures the validity of the invisible field. At the same time, looking from a distance at a complementary perspective, we can get to overcome our psyche, which is supposed to be unconscious. An unconscious that easily crosses any dimension and through which, at a certain level, we come to our consciousness - the one that produces the images, the experiences, the one that generates the simple touch, the pattern of continuity, but at the same time the one that frees us and makes us realize just who we really are and what is our purpose in this game.

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¹⁸ Vilhauer, *Gadamer’s Ethics of Play*, Hermeneutics and the Other, p. 125.

THE DEALING IN THE ART GALLERIES: HOW IS AFFECTING THE CONTEMPORARY ART WORLD

IOLANDA-GEORGIANA ANASTASIEI*

ABSTRACT. The Dealing in the Art Galleries: How is Affecting the Contemporary Art World. The present study focuses on the different types of artist-gallery collaborations established in the contemporary art world, trying to underline the impact that such collaborations can have on the art world in general. I shall point several effects that these types of collaborations can have in relation to the art market or even in relation to the aesthetics of contemporary art. The role of private art collectors is also of some importance in this equation and I shall also focus on some relevant examples of galleries or art dealers symptomatic to some of the issues discussed.

Keywords: *artist, gallery, art dealer, art market, art collections*

Introduction

The purpose of the this study is to analyse different types of relationships established between artists and art galleries and to identify the impact that such collaborations can have on artists' careers as well as on the art word in general. This investigation tackles with the larger context of the art world, as it is defined by Howard S. Becker in *Art Worlds* – “the network of people whose cooperative activity, organized via their joint knowledge of conventional means of doing things produces the kind of art works that art world is noted for.”¹ The particular art world I analyse here is that of contemporary visual arts.

The selection process effected by art galleries and their connections with artists can, no doubt, affect the art world. Before collaborating with a gallery an artist is required to self-promote his/her work in order to be accepted as a collaborating artist. After acceptance, it is not uncommon that the gallery suggests

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¹ Howard Becker, *Art Worlds*, University of California Press, Berkeley, California, 1982, pp. 7–11.

to the artist certain directions relevant to the tendencies of the contemporary art world, influencing his/her work towards a more market-friendly zone. In some cases, leader galleries choose a different strategy, that of contracting artists (brands) from other form of art (such as music or film). As examples, we can consider the role of Bob Dylan as an artist of the Gagosian Gallery, or the promoting of actor James Franco as the main artist for Pace (New York) in 2014. As a consequence to these types of strategies developed by galleries, art critic Jerry Saltz observes a loss of vision in the art world and a “decrease of aesthetic complexity”.²

In a recent study published in 2017, *Who’s Afraid of Contemporary Art*,³ the two authors, Kyung An and Jessica Cerassi, raise a very provocative question (relevant to this study): Are galleries “the next big thing” in contemporary art? In relation to this topic, the authors also note few observations concerning the relationship between artists and galleries: “At their best, relationships between galleries and artists are founded on mutual admiration more than monetary interest”.⁴ Both of the problems addressed here require a broader investigation, in order to determine whether such aspects could be symptomatic for the contemporary art world or not. First of all, the idea that galleries can be “the next big thing” in art may seem exaggerated, given the fact that private collections, for example, are also massively advancing in their impact on the art world. From a practical point of view, the gallery can be seen as a *bridge* between the artist and the private art collector. The gallery is, thus, a mediator, often activating in the art market according to the preferences of the top private art collectors (the buyers).

The private art collector has an important role in the art market and it is quite often that new trends in art are, in fact, established according to these private collectors’ preferences. In other words, the influence of private collectors in the art world seems to be much more present than that of galleries. From this point of view, it is not necessarily the gallery itself that makes an impact in the art world. On the other hand, the art dealer responsible for a certain gallery can have an important role in establishing collaborations with artists and private collectors. Therefore this aspect should be also addressed in the present study.

Given the inherent dynamics of the art world, in order to configure the nature of the artist – gallery relationship, I must first take into consideration a series of aspects raising questions such as: Who is more interested in establishing

² Jerry Saltz, “Saltz on the Trouble with Mega-Galleries”, New York Magazine online (Vulture), 13 October, 2013, <http://www.vulture.com/2013/10/trouble-with-mega-art-galleries.html>, *apud*. Edward Winkleman, *Selling Contemporary Art, How to Navigate the Evolving Market*, Allworth press, New York, 2015, p. 42.

³ Kyung An, Jessica Cerassi, *Who’s Afraid of Contemporary Art, An A to Z Guide to the Art World*, Thames & Hudson, London, 2017, p.71.

⁴ *Ibid*.

a form of collaboration? How can a long-term collaboration be maintained between an artist and a certain gallery? Does such the collaboration affect the creativity of the artist? Can we talk about positions of power between the two parties involved and, if so, who has the power? These are just some of the questions that I address in the present study as I investigate the evolution of the artist-gallery relationship, in relation to the current situation of the art world as it is referred to in several studies by authors such as Howard Becker, Raymonde Moulin, Edward Winkleman, Magnus Resch or Jonathan Harris.

The innovative art dealer

In the process of establishing a form of collaboration between the artist and the gallery, the key-actor is the art dealer. Alongside artists, curators, private art collectors, critics and audience, the art dealer contributes significantly to the image of the gallery in the art world and is, in fact, one of the most important elements in relation to the internal mechanisms that galleries work with. While analysing a study of the art market from 1967 by the French sociologist Raymonde Moulin, Howard Becker makes several notes concerning the art dealer. Following Moulin, he defines the dealer of contemporary art as being a person with entrepreneurial skills, capable of assuming great risks and responsibilities: "Dealers integrate the artist into the society's economy by transforming aesthetic value into economic value, thus making it possible for artists to live by their art work."⁵

An "innovative"⁶ art dealer, as Becker observes, can quite often evaluate a certain situation by appealing to both aesthetic and financial judgment, and knowingly assumes his risks taking into consideration the ever-changing nature of the art world. It is this type of dealers that are interested in investing in new (unknown) artists, as they anticipate possible fluctuations in the art market that could be successful on a medium-term or even short-term basis. However, an important number of art dealers are, in fact, more interested in investing and promoting art that is already acknowledged by critics, collectors and other galleries⁷, this type of investment following a much safer path.

Obviously, in the contemporary art world we can frequently find cases of art dealers that are operating with investments directed to both innovative and traditional (acknowledged) forms of art, such an approach being, in fact, essential to a long-term consolidation of a certain gallery's profile. The art market itself is

⁵ Howard Becker, *Art Worlds*, University of California Press, Berkeley, California, 1982, pp. 109–110.

⁶ *Ibid.* p.110

⁷ *Ibid.* p. 111.

divided (primary and secondary market),⁸ depending on the socio – cultural context and the potential preferences of private collectors. I am focusing here mainly on the case of the “innovative” art dealer who is required to be extremely convincing in relation to the preferences of private art collectors and whose activity is in a permanent state of transition.

In the 20th century a great importance was given to these innovative art dealers and as far as examples are concerned, an interesting case is that of Leo Castelli. According to Raymonde Moulin, Leo Castelli “illustrates the contemporary version of the dynamic entrepreneur”.⁹ He is, in a sense, the predecessor of art dealer willing to take a risk, to invest in new, undiscovered, artists and then to successfully introduce them to the art world. Leo Castelli’s success as an art dealer is clearly remarkable if we take into consideration, for example, some of the artists who made their debut under his initiatives: Andy Warhol, Jasper Johns, Robert Rauschenberg, Donald Judd, Roy Lichtenstein, Joseph Kosuth, Richard Serra, Bruce Nauman, Claes Oldenburg or Dan Flavin. Being of Italian origins and living in Manhattan, Leo Castelli had an important role in the art world because he managed to create a strong (and official) connection between the art markets of Europe and The United States. His intention was not only that of supporting new artists, but also that of promoting American art in Western Europe. It is therefore not surprising that Leo Castelli had participated at the famous Biennale in Venice in 1964 when Robert Rauschenberg became the first American artist to win the Grand Prize for Painting.

Another important contribution of Leo Castelli’s related to promoting and expanding the art field involves the complex system of distribution of art works that he established – it is this system of distribution of art that has evolved today into a phenomenon widely known and highly criticized: that of the mega-galleries. However, the concept of mega-galleries is, in fact, older and, as Raymonde Moulin

⁸ According to Alessia Zorloni, the primary art market is the area that deals with new works of art that are often marketed for the first time – it includes studios, galleries and contemporary art fairs or festivals. The Italian economist also observes that the primary art market is the place most relevant to the innovations in the art world, however it requires great efforts coming from the galleries in order to promote and assure visibility for the new works of art or artists. The secondary art market consists of exchange between works of art that are already circulating on the market. The advantage of the operators here is that they have access to a wide documentation concerning the works of art or the artists themselves. The secondary art market is, therefore, associated mainly with auction houses, however there are also galleries that deal with artists already acknowledged by art history. – Alessia Zorloni, *The Economics of Contemporary Art – Markets, Strategies and Stardom*, Springer, Berlin, Heidelberg, 2013, p. 52.

⁹ Raymonde Moulin, *Le marché et le musée. La constitution des valeurs artistiques contemporaines*, Revue française de sociologie, XXVIII., 1986, p. 376.

notes, it is quite similar to the concept of leader-gallery. In her study, *Le marché et le musée. La constitution des valeurs artistiques contemporaines* (1986), the French sociologist defines the leader-gallery as “a form of monopole concentration of costs”.¹⁰

As I have already mentioned, Leo Castelli managed to create a powerful link between the American and European art markets. He also developed a network for the vast circulation of art works because of the multiple branches of his gallery opened around the world. It is this model of extending galleries that was assimilated today in the art world by the leader-gallery or the mega-gallery - generally speaking, we are dealing with galleries that have contracted numerous artists and have opened multiple branches around the world (especially The United States, Europe and Asia), thus having an immense impact on the art market.

Castelli believed that in order to build a powerful gallery, with influential artists, one must give special attention to the artist - gallery relationship also. The secret of his success was a close relationship with the artists involved, a relationship based on mutual trust, and, even though his gallery had numerous branches around the world he managed to keep a very consolidated network of direct connections.

However, if we take into consideration the contemporary mega-galleries it is important to observe that, in some cases, members of the same gallery, but from different branches, never actually meet in person. From this point of view, Edward Winkleman, member of The New Art Dealers Alliance and president of The Williamsburg Gallery Association, sees Castelli more as a “romantic”¹¹ figure, a model that is no longer valid in the context of the contemporary art world.

Profiles of contemporary art galleries

Apart from his critique of the model imposed by Castelli, Edward Winkleman also has some important observations concerning galleries that are of great relevance to the topic of this paper. I am referring here to the fact that Winkleman proposes a classification and description of various types of galleries, beyond the simple distinction between galleries oriented towards the primary, respectively, the secondary art market. Based on his analysis we can determine the ways in which the artist-gallery relationship varies according to the different types of galleries. In his book from 2015, *Selling Contemporary Art, How to Navigate the Evolving Market*, Winkleman proposes a hierarchy of four different levels. The differences between several types of galleries are established based on various criteria such

¹⁰ *Ibid.* p. 381.

¹¹ Edward Winkleman, *Selling Contemporary Art, How to Navigate the Evolving Market*, Allworth press, New York, 2015, p. 123.

as: the number of branches (local centres), collaborating artists, collaborating private collectors, and the diversity of the personnel involved in organizing exhibitions and promoting art. More specifically, Winkleman proposes four categories¹² that can cover the range of different gallery types: emerging galleries, mid-level galleries, top galleries and mega galleries.

As far as the *emerging gallery*¹³ is concerned, we are usually dealing with an owner's first gallery, functioning for a period of less than 10 years and maintaining collaborations with a fixed number of artists (less than 10). When artists collaborating with a developing gallery achieve some form of recognition they often decide to start collaborating with larger galleries. Therefore, we can admit the fact that developing galleries have a relatively low impact at an international level in the art world.

Unlike developing galleries, *the mid-level galleries*¹⁴ are active in the art world for a period longer than 10 years. Thus they have a greater impact, yet their influence is still significantly lower than top of the *top galleries*. They participate in relatively few art fairs or festivals (compared to the top galleries, for example), and prefer collaborations with debuting artists that share some of the curatorial preferences of the art dealer. One of the main differences that Winkleman points out in his book, regarding the distinction between mid-level and top galleries, refers to the amount of money and the amount of time that a gallery is willing to invest in its clients (both the artists and the private collectors).

Therefore, the reason for which a mid-level gallery does not evolve into a top gallery is commonly associated with the fact that it is not sufficiently involved in the process of consolidating its position and influence in the art world. Also, a frequent participation in art fairs and festivals assures a certain visibility for a gallery and such features can also be relevant in establishing differences between mid-level galleries (with a low attendance rate at such events) and top galleries (with a high attendance rate). Winkleman also points out a curious case related to the frequent participation in art festivals of the top galleries: quite often a gallery willing to ensure its important status in the art world (due to participation in art festivals) can make managerial decisions beyond any control of the art dealer. The author advances the example of Art Basel, demonstrating that a gallery can frequently make its way into the art festival sections dedicated to new artists and this provides a certain visibility.

However, if the gallery fails to be accepted in the main sections of the festival, than it will continue to be perceived as a mid-level gallery in the market: "Some galleries who do continuously get into bigger fairs' main sections may still be viewed

¹² *Ibid.* p. 36.

¹³ *Ibid.* pp. 108–109.

¹⁴ *Ibid.* p. 109.

as mid-level because of their placement in the less desirable sections of those fairs' floor plans."¹⁵

Edward Winkleman himself was confronted with the issue of transforming a mid-level gallery into a top one – the gallery is named after him: Winkleman Gallery (in New York). The author also expresses his admiration for the mid-level galleries observing that they bring a certain romantic feature to the general “gallery ecosystem”,¹⁶ since they offer artists (passing an emergent period of their career) the possibility to experiment and evolve, based on the financial support.

Concerning the mega-gallery¹⁷ (or the leader-gallery if we choose to follow the concepts of Raymonde Moulin), Winkleman is mainly critical, considering that the extension of mega galleries is, in a way, uncontrollable, it tends to create a form of monopoly in the market and, since it does not always take into consideration the quality of the art works, it brings a certain negative effect in the general aesthetics of contemporary art. A mega-gallery implies a state of permanent expansion, a massive budget, and multiple branches (local centres) around the world while contracting more than 40 artists. Even to the public, the mega-gallery is seen as an ever-expanding organization, similar, in a way, to an empire that leaves its mark on the entire system of art galleries. Lately, their expansion policy is labelled as being aggressive, like a form of *poaching*,¹⁸ since mega galleries focus on recruiting promising young artists from smaller galleries, therefore becoming an obstacle in the evolution of these smaller organizations.

In 1986, Raymonde Moulin had an even clearer vision concerning the concept of leader gallery (compared to Winkleman's mega gallery). For Moulin, the leader gallery is not just an influential gallery with an immense budget and multiple branches around the world. When referring to the leader gallery, she mainly talks about a “coalition”¹⁹ of galleries that forms a network of distribution for the artists in which every subordinated gallery is entitled to a 20 percent discount compared to the selling prices normally practiced by the leader gallery.

Concerning the complicated relationship between artists and mega-galleries, Winkleman also cites a very interesting article of the art critic Jerry Saltz from a 2013 edition of the *New York Magazine*. According to Saltz: “The megas (like all galleries) say their job is to nurture talent and help artists succeed, but if you look at what they do, it is more like branding: Find a buzzy artist, no matter how iffy, and get his or her name out there. Something happens to people when

¹⁵ *Ibid.*

¹⁶ *Ibid.* p.110

¹⁷ *Ibid.* p. 36.

¹⁸ *Ibid.* p. 40.

¹⁹ Raymonde Moulin, *Le marché et le musée. La constitution des valeurs artistiques contemporaines*, Revue française de sociologie, XXVIII., 1986, p. 383.

they sign with the megas.”²⁰ He also points that “The artist is a brand, and the brand supersedes the art. The scale and pace of these places often turn artists into happy little factories with herds of busy assistants turning out reams of weak work.”²¹

According to Jerry Saltz, the quality of contemporary art itself is influenced by the business model and the ever-expanding policy of mega galleries that increase their collaborations with debuting artists. Indeed, when being suddenly launched into the unstable art world, debuting artists tend to lose their judgment of creativity, becoming a category that can be easily manipulated. In this case, in a world in which the rules of the market dictate, we are no longer discussing exclusively about artist-gallery collaborations based on trust. From this point of view, the collaboration model proposed by the art dealer Leo Castelli in the 20th century may indeed seem as romantic, as Winkleman noted. However, as we shall see in the following paragraphs, if we take into consideration a mega gallery such as Sadie in London, a collaboration based on trust is not just present here, but, even more, it is one of the very important features in the organization of the gallery.

The issue of mutual trust in the artist-gallery relationship

When discussing about the relationship between the artist and the art-dealer, Winkleman notes that in the case of Castelli, for example, we can talk about a business strategy as well as a personal method of working with the artist. If an art dealer considered his investment in an unknown artist as being reliable, then he would rely on establishing a powerful connection with the artist, assuming a responsibility to improve that artist’s visibility in the art world. Concerning the current state of dealer – artist relations, the author observes that on the one hand the issue of loyalty is more relevant to the small galleries (rather than to the larger ones) and, on the other hand, that young art dealers are not so much preoccupied with the idea of loyalty, even though young artists are.

Consequently, the artists have in mind a certain pattern of success in the moment they take into consideration collaborating with a gallery and, in this case, smaller galleries are seen as having a disadvantage because they can’t provide possibilities such as organizing expositions in multiple locations or participating in top art fairs and festivals.

²⁰ Jerry Saltz, “Saltz on the Trouble with Mega-Galleries”, New York Magazine online (Vulture), 13 October, 2013, <http://www.vulture.com/2013/10/trouble-with-mega-art-galleries.html>, *apud* Edward Winkleman, *Selling Contemporary Art, How to Navigate the Evolving Market*, Allworth press, New York, 2015, pp. 41–42.

²¹ *Ibid.*

An art dealer dedicated to his work and willing to consolidate his status in the art world will certainly make great efforts in order to maintain a close and productive relationship with the artists. However, as Winkleman says: “what the mega-galleries can do for artists’ careers is obvious and alluring”.²² As a long-term strategy for consolidating a dealer’s or gallery’s position the solution seems to be doing more with less. Unavoidable constraints can be seen as a motivation, capable of generating inventive solutions for ensuring an impact in the case of small or medium galleries.

Mega galleries continue to have a strong influence over the internal mechanism of the art world. Galleries such as *Gagosian* (New York), *Sadie* (London) or *Hauser & Wirth* (Zürich) have a direct effect on contracts of consignment²³ or representation.²⁴ These types of contracts illustrate the official collaboration between artists and galleries. Next, in order to exemplify the means to maintain a good artist – dealer relationship and to point out several criteria involved in the official contracts of collaboration, I analyse the case of the *Sadie* Gallery (a gallery founded by Sadie Coles).

At present, with a number of 49 artists and numerous local headquarters around different continents, the *Sadie Coles HQ* Gallery, founded in 1997, describes itself as a contemporary art gallery active only on the primary art market. Having a history of over 20 years, with a central location at London, *Sadie* can be placed in the category of leader galleries, with a considerable impact in the contemporary art world. In a recently published volume, *Art, Money, Parties* (2004), Jonathan Harris includes an interview with Sadie Coles on the topic of gallery structures in the era of globalized contemporary art.

One of the interesting parts of the interview, relevant to this paper, focuses on the artist-gallery relationship topic. Sadie Coles admits that she has always preferred to work with artists close to her age offering the example of her collaboration with Sarah Lucas (also, a close friend of hers). Concerning the distinction between a professional relationship and a social relationship, Sadie Coles observes that the artist – dealer relationship in general has not changed much throughout time, but there is, however, a particular approach of each art dealer in relation to his collaborating artists. Even so, this does not exclude the possibility of combining social and professional aspects. Finally, Sadie Coles stresses out the importance of mutual trust between the dealer and the artist, since, for example, the collaboration contracts with artists that she signs are usually for a long period of 15 years:

²² Edward Winkleman, *Selling Contemporary Art, How to Navigate the Evolving Market*, Allworth press, New York, 2015, p. 43.

²³ This type of contract defines the work relations between artists and galleries. It is also called a distribution contract, referring to the right to exhibit and sell works of art for a certain period of time.

²⁴ The representation contract presents the terms by which a gallery has the right to represent future works of the artist for a period of time.

“Artists are close to their dealers because they hopefully feel that, first of all, that person knows both their market and their work in depth and can give them quite sound advice or interpretation about how the new work relates to previous things they have made or give them ideas about how to generate new interest in their work. You’ve entered into this relationship with them which is a real partnership so that partnership has to be maintained – it’s a bit like being married.”²⁵

The *Sadie* Gallery, shortly after *Gagosian*, at the end of the 1990’s, establishes its headquarters in the West End district of London. Quite rapidly, the area becomes a sort of Silicon Valley of the European art world, attracting some of the greatest private collectors in the world. In this situation, several developing galleries that cannot afford a centre in West End disappear completely from the art market.

In a study, prior to the book *Management of Art Galleries*, Magnus Resch raises the question of a certain balance between aesthetic purposes and the demands of the market, taking into consideration the possibility of benefits for both the artists and the galleries. His solution is that of a constant evaluation of the artists’ performance. Resch’s model is oriented mainly towards the art galleries that operate on the primary market and has two important objectives: “(1) Analyse and document the current performance of its artist and decide which artists should receive more or less attention”, and “(2) Develop growth strategies for adding new artists to the portfolio, while deciding on future collaborations with current artists.”²⁶

Magnus Resch’s proposals are based on the premise that galleries are too focused on not losing an artist from their list and tend to overlook the quality of that artist’s work over a period of time. Even more, the 50 percent share that is delivered to the artist after a sale, respectively, the 50 percent share that ends up to the gallery can seem incorrect, since the quality of the work may fluctuate over time, this being the reason for which a constant revision is required, regarding the works of the artist.

A possible problem in relation to this objective could appear if artists would end up struggling to produce a greater number of works in a short period of time, a fact that could lead to a decrease in the quality of those works. Also, if the 50 percent share would lower after the first evaluation, artists could be less motivated, considering that the gallery is on the point of abandoning them.

²⁵ Jonathan Harris, *Art, Money Parties, New Institutions in the Political Economy of Contemporary Art*, Liverpool University Press, Liverpool, 2004, p.89.

²⁶ Magnus Resch, *Management of Art Galleries – Business Models*, DISSERTATION of the University of St. Gallen, School of Management, Economics, Law, Social Sciences and International Affairs, Edition Winterwork, Borsdorf, 2011, p. 182.

Conclusions

The present study can be seen as an introduction to the very complex issue of artist-gallery collaborations. By discussing these aspects and examples, my aim was to outline a general perspective concerning the impact that different types of artist-gallery collaborations can have on the art world. Obviously, leader galleries have a greater impact on the art world, while emerging or smaller artistic organizations produce most often only a local impact. The artist-gallery relationship is indeed made official by contracts, however, one of the defining features of this relationship is mutual trust, maintained in an informal manner. Artists are recruited by galleries as creative resources and they contribute to the configuration a status of the artist in the art world, however, if the gallery's selection is made according to other criteria than quality of the works, an aesthetic decline is inevitable in the contemporary art world.

In the artist – gallery relationship it is not just the artist who receives a certain international recognition, but it is the gallery itself who depends on the success of the artist it represents. Sociologist Raymonde Moulin thus observes that in contemporary art a need for a “double certification”²⁷ appears. Taking these observations into consideration, to the question “who holds the power?”, we can only answer that the power does not belong exclusively to one of the two sides (the artist or the gallery), rather we can relate to what some authors refer to as bilateral monopoly.²⁸

A concluding remark regarding Kyung An and Jessica Cerassi's observation (“At their best, relationships between galleries and artists are founded on mutual admiration more than monetary interest”²⁹) would be that artist-gallery relationships are not clearly founded on mutual admiration. Rather we are dealing with a need for double recognition, coming from both parts, a recognition based on mutual trust and financial interest. It is in the interest of both the gallery and the artist that the works of art should be sold to top private collectors. In fact, galleries and private collectors, when selecting a certain artist, usually think of their choice as a long-term investment guiding themselves in the art market by the principle “the winner takes it all”. In the artist-gallery relationship mutual trust is a feature expressed more frequently than admiration, and this trust is built both on a personal level of the relationship and a professional level treated with responsibility by both sides.

²⁷ Raymonde Moulin, *Le marché et le musée. La constitution des valeurs artistiques contemporaines*, *Revue française de sociologie*, XXVIII., 1986, p. 371.

²⁸ Alessia Zorloni, *The Economics of Contemporary Art – Markets, Strategies and Stardom*, Springer, Berlin, Heidelberg, 2013, p.127.

²⁹ Kyung An, Jessica Cerassi, *Who's Afraid of Contemporary Art, An A to Z Guide to the Art World*, Thames & Hudson, London, 2017, p. 71.

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