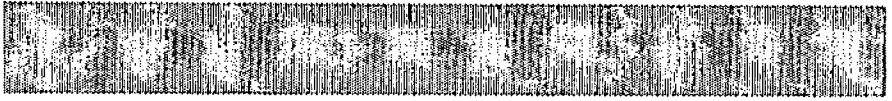# Estudos Germânicos

Anais da XI Semana de Estudos Germânicos

Estudos Germânicos

Universidade Federal de Minas Gerais
Faculdade de Letras
Departamento de Letras
Anglo-Germânicas

Anais da
XI Semana
de Estudos
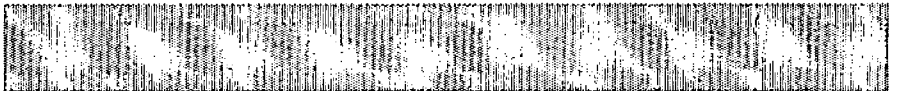## Germânicos

Belo Horizonte - 1996

Universidade Federal de Minas Gerais

Faculdade de Letras

Departamento de Letras
Anglo-Germânicas

Anais da XI Semana de Estudos Germânicos Volume

Comissão Editorial
Ana Maria Carneiro de Melo Coelho
George Otte
Irene Ferreira de Sousa
Kevin John Keys
Reinildes Dias

Formatação eletrônica: Micro-Letra Digitações Ltda

Os Conceitos expressos nos artigos são de responsabilidade exclusiva de seus autores.

Prefácio

Estes anais referem-se à XI Semana de Estudos Germânicos, promovida pelo Departamento de Letras Germânicas, através do CESAG (Centro de Estudos Anglo-Germânicos), realizada no período de 24 a 27 de outubro de 1994.

A Semana é um evento anual que busca disseminar o trabalho acadêmico dos pesquisadores do Departamento e de outras instituições no Brasil e no exterior, visando a intervir no debate cultural nas áreas de língua e literatura alemã e inglesa, assim como na área de metodologia referente ao processo de ensino-aprendizagem de língua estrangeira.

Os artigos constantes destes anais são os que nos foram enviados em prazo viável para publicação. Três são as sub-divisões adotadas: *O processo de ensino-aprendizagem de língua estrangeira; Literatura em expressão inglesa; Literatura em expressão alemã.*

Agradecemos o apoio recebido da Diretora da FALE, Professora Rosângela Borges de Lima e do Programa de Apoio Integrado a Eventos / Pró-Reitorias. Ao Chefe dos Serviços Gerais da FALE, Sr. Francisco de Assis Diniz Leite, os nossos agradecimentos especiais.

Comissão Editorial

In memory
of our friend and colleague

Irene Ferreira de Sousa,

. . .
Now (she)he is scattered among a hundred cities
and wholly given over to unfamiliar affection
to find (her)his happiness in another kind of wood.

W. H. Auden

and gone

Once you appeared at my door
Saying a lot, feeling still more,
Charisma and dreams together.
You and your touch of feather
Conquered me.
The battles won,
You flew free,
My charisma and dreams
Dropped.   Changed teams,
Flopped.   Expected predictions,
Stopped.   Disappeared inaction.
   Once you disappeared from my door
Silently, sofly, blasé.
Windows, a post,
Walls, a disgust,
The battle's lost.
   I cut my wings
Need time to grow
New ones.

Irene Ferreira de Sousa

Sumário

O Processo de Ensino-Aprendizagem de Língua Estrangeira

Literaturas em Expressão Inglesa

Literatura em Expressão Alemã

O Processo de Ensino-Aprendizagem de Língua Estrangeira

A Relação Professor-Aluno-Livro Didático e Aprendizagem de L2

Maria da Graça GOMES PAIVA - UFRGS

"En resumen, el rasgo esencial de nuestra hipótesis es la noción de que los procesos evolutivos no coiciden con los procesos de aprendizage. Por el contrario, el proceso evolutivo va a remolque del proceso de aprendizaje... nosotros postulamos que lo que crea la zona de desarollo próximo es un rasgo esencial de aprendizaje, es decir, el aprendizaje despierta una serie de procesos evolutivos internos capaces de operar sólo cuando el niño está en interacción con las personas de su entorno y en cooperación con algún semejante."

(Vygotsky, 1978:138-9)

"Knowledge of anything and the learning of anything is an interpersonal matter".

(Michael Breen & Christopher Candlin , 1988)

"Empregar conscientemente a mediação social implica dar educativamente importância não só ao conteúdo e aos mediadores instrumentais (o que se ensina e com que) mas também aos agentes sociais (quem ensina) e suas peculiaridades."

(Marta K. Oliveira, 1991)

Introdução

Segundo Richard-Amato[1], pesquisas recentes parecem indicar que a interação envolvendo "full two-way communication" (comunicação em via dupla total) é a melhor maneira de negociação de significados e, por extensão, de aquisição de uma língua-meta (1988:32). O termo "two-way communication", prossegue a autora, foi tomado por empréstimo de Burt and Dulay[2] que dividem o processo de comunicação em três estágios, a saber: processo de uma via (i.e. o aluno recebe o insumo mas não explicita nenhum enunciado); processo parcial de duas vias (i.e. o aluno responde oralmente na L1 ou através de gestos); e o processo em via dupla total (i.e. o aluno dá uma mensagem e responde na língua-meta às mensagens dos outros).

A busca de uma *abordagem interacional*, portanto, parece ser uma preocupação não só de especialistas, professores e pesquisadores contemporâneos – em particular, na área de aquisição de uma língua – mas também de especialistas preocupados em melhor desvelar o processo de aprendizagem e de desenvolvimento biológico do ser humano, tendo a educação como mediadora entre o homem e a sua cultura ou contexto social – como é o caso de Liev S. Vygotsky (Vygotsky:1896-1934).

O presente trabalho objetiva rever a relação professor-aluno-livro didático e a questão da aprendizagem eficaz de uma língua , à luz de alguns pressupostos vygotskianos – como é o caso do seu conceito de *"Zona de Desenvolvimento Proximal"* – buscando uma melhor compreensão do processo de aprendizagem de línguas, bem como novos avanços nos atuais programas de ensino, na medida em que se enfatiza o *diálogo* ou as *negociações* entre os dois principais agentes do nicho social denominado sala de aula: o professor e o aluno.

Num primeiro momento, algumas considerações serão feitas sobre Vygotsky e alguns de seus pressupostos teóricos que certamente podem contribuir para a melhoria e eficácia do processo de ensino e de

aprendizagem de línguas. Num segundo momento, à luz de tais pressupostos, buscar-se-á uma redefinição dos papéis: professor e aluno, no contexto de aprendizagem de línguas, tomando como base diferentes metodologias de ensino – desde as mais tradicionais até as mais atuais – que subjazem os livros didáticos para o ensino de uma segunda língua. Num terceiro momento, pretende-se abordar a questão da aprendizagem *eficaz* de uma segunda língua, a partir das reflexões apresentadas nos dois momentos anteriores, seguindo-se de conclusões e/ou sugestões de encaminhamentos quanto ao tema em estudo.

Espera-se, com este trabalho, contribuir para novas reflexões no campo da aquisição de uma segunda língua, na medida em que se coloca em contato duas áreas de conhecimento das ciências humanas – no caso, a psicologia e a lingüística – preocupadas em melhor conhecer e desenvolver o seu objeto de conhecimento e de pesquisa que é o próprio ser humano e suas relações interpessoais, mediadas pela linguagem, dentro do contexto sócio-histórico e cultural.

O Pensamento de Vygotsky

A grande contribuição de Liev. S. Vygotski (Vygotsky:1896-1934) para a Psicologia Contemporânea foi a elaboração de uma Teoria sobre o "desenvolvimento dos processos psicológicos superiores" também chamada de "Teoria do desenvolvimento cultural", apresentada em sua obra "La Historia del desarollo de las funciones psicológicas superiores"[3] – escrita entre 1930 e 1931 – a qual permaneceu inédita até 1960. Por outro lado, o ambiente em que desenvolveu o seu trabalho correspondeu ao período de instalação da Revolução Soviética, onde o mundo acadêmico estava dominado pelo pensamento de Hegel, Marx, Engels e pelas teorias evolucionistas das Ciências Naturais. Vygotsky teve a mesma origem, porém com uma crescente contribuição pessoal que sua criatividade não permitia limitar.

A paixão pelo humano e a preocupação em criar uma "psicologia do homem"[4], podem ser considerados, entre outros motivos, o responsável pelo reconhecimento de Vygotsky como um dos clássicos da psicologia e da ciência soviética. Para Newman et alli[5], a característica fundamental de sua teoria consiste na integração do *interno* com o *externo*; ou seja, ela não se refere nem à mente nem às relações entre estímulo e respostas oriundas do externo, mas da relação dialética entre o interpsicológico (ou intersubjetividade) e o intrapsicológico (ou subjetividade do indivíduo) e as transformações decorrentes de tal relação.

Ao associar o homem ao seu contexto cultural (i.e. concebia o homem como ser biológico e cultural), Vygotsky constrói a sua teoria, na nossa percepção, sobre três pilares básicos, a saber: a história (filogênese do sujeito), o social (ontogênese do sujeito) e a cultura (como este ser social interage com seus pares neste seu percurso individual como ser no mundo), na medida em que busca descrever a natureza dos *processos psicológicos superiores* no ser humano (i.e. o seu pensamento, os seus mecanismos intencionais, as suas ações conscientemente controladas, a sua vontade, sua metacognição). A educação, à luz da teoria Vygotskiana, exerce um papel de mediação entre o ser humano e sua cultura, na medida em que propicia espaços para a interação e a construção de conhecimento oriundo das relações interpessoais (eu e o grupo) e intrapessoais (eu comigo mesmo) – através de uma ferramenta fundamental no processo de comunicação que é a própria linguagem – e de ferramentas culturais que mediam tais interações entre os sujeitos e as suas relações com o mundo físico. Para Bruner[6], "a principal premissa da formulação de Vygotsky era a de que o homem estava sujeito do jogo dialético entre a natureza e a história, entre suas qualidades como criatura da biologia e como produto da cultura humana."

Dentre as grandes inovações propostas por Vygotsky, com referência à questão da aprendizagem, encontra-se a concepção de que a mesma:

> "(...) é um processo construído durante toda a vida do indivíduo, não estando pronto quando do seu nascimento (visão inatista),

nem sendo adquirido de forma passiva em virtude da ação
unilateral do meio (visão comportamental)" [7]

Nesse sentido, por considerar que cada pessoa é única e responsável pela
construção do seu conhecimento, bem como da sua própria cultura, e, por
extensão, difere dos seus pares nesse processo – revelando-se também um
aprendiz diferenciado dos outros – Vygotsky entende que aprendizagem
escolar não é decorrência da adequação do ensino ao estabelecimento de
determinadas faixas etárias de desenvolvimento mental (ou níveis de
desenvolvimento, segundo Piaget) mas, na verdade, constitui-se num
elemento que precede aquela. Nas suas próprias palavras,

> "aprendizado não é desenvolvimento; entretanto, o aprendizado
> adequadamente organizado resulta em desenvolvimento mental
> e põe em movimento vários processos de desenvolvimento que,
> de outra forma, seriam impossíveis de acontecer" [8]

Zona de Desenvolvimento Proximal

Considerando-se que qualquer aprendizado da criança inicia-se bem
antes da idade escolar e que, portanto, cada uma delas já traz consigo
uma história prévia de aprendizagem informal, Vygotsky afirma que
tanto o aprendizado como o desenvolvimento mental do ser humano
"estão inter-relacionados desde o primeiro dia de vida da criança" [9]. Em
outras palavras, crianças que apresentam níveis semelhantes de
desenvolvimento mental (dentro de um grupo da mesma faixa etária)
numa sala de aula, apresentam capacidades distintas de aprendizado e
de resolução de problemas, sempre que o professor lhes ofereça diferentes
alternativas e/ou pistas quanto a como encarar a questão. Partindo desses
pressupostos, Vygotsky formulou o conceito de **Zona de Desenvol-
vimento Proximal (ZDP)**. Segundo o autor, essa define-se como

> "(...) a distância entre o nível de desenvolvimento real, que se
> costuma determinar através da solução independente de
> problemas, e o nível de desenvolvimento potencial, determinado

através da solução de problemas sob a orientação de um adulto ou em colaboração com companheiros mais capazes" [10]

Uma leitura reflexiva do conceito de ZDP pode nos remeter às seguintes conclusões preliminares:

- o professor deve auxiliar o aluno a *construir* o conhecimento; (apoio temporário, retirado quando desnecessário)
- deve ocorrer um processo de *transferência progressiva de controle* (do professor para o aluno) da atividade e da aprendizagem;
- a criação da *competência* ocorre antes da execução da tarefa;
- constitui-se no espaço de negociações sociais;
- é o lugar onde professor e aluno se *apropriam* da compreensão do outro;
- *não* se define com transmissão mecânica dos componentes de uma tarefa (por parte do professor) para aquele que a executa (o aluno);
- a tarefa de sala de aula deve desenvolver-se de forma *interativa* desde o primeiro momento.
- sala de aula torna-se o espaço de "múltiplas zonas de desenvolvimento proximal."
- a dinâmica do processo ensino-aprendizagem se divide em, pelo menos, três etapas: o professor e o aluno iniciam fazendo uma tarefa **juntos**; o professor desempenha a maior parte da tarefa e o aluno desempenha um papel menor; gradativamente, o aluno vai sendo capaz de fazer mais até que, por último, pode realizar toda tarefa sozinho.

Cabe salientar também que, para Wertsch & Stone [11], o conceito de ZDP foi elaborado para explicar duas questões da Psicologia da Educação: a avaliação das habilidades cognitivas da criança e a avaliação das práticas instrucionais. Nesse sentido, Newman et alli [12] salientam que a ZDP

revela-se de grande contraste com relação a uma abordagem tradicional de processos de aprendizagem, na medida em que as duas concepções apresentam enfoques distintos quanto à avaliação do progresso do aluno e de suas habilidades. Numa perspectiva tradicional, a competência se mede através da realização satisfatória de uma tarefa em um momento determinado. Contudo, se o objetivo é avaliar a atuação individual de cada aluno, a ZDP suscita um enfoque diferenciado. Para os autores, ao invés de se propor uma tarefa aos alunos e medir até que ponto a realizam com maior ou menor grau de sucesso, devemos observar quanto e de que tipo de ajuda necessitam para concluí-la de forma satisfatória. O que está em jogo, portanto, é **uma avaliação mais dinâmica** (e não de forma isolada) do sistema social formado pelo professor e pelo aluno para determinar o quanto de progresso ocorreu. Nas palavras de Vygotsky,

> "Por mais de uma década, mesmo os pensadores mais sagazes nunca questionaram esse fato: nunca consideraram a noção de que aquilo que a criança consegue fazer com a ajuda dos outros poderia ser, de alguma maneira, muito mais indicativo de seu desenvolvimento mental do que aquilo que consegue fazer sozinha." [13]

A questão que se coloca agora é: em que medida o conceito de ZDP se aplica ao campo da lingüística, em particular, ao campo da aquisição de uma segunda língua?

Segundo Amato[14], embora Vygotsky – assim como Chomsky – "não tenha se referido especificamente à pedagogia do ensino e da aprendizagem de uma segunda língua, ele certamente formulou idéias sobre aprendizagem e desenvolvimento nas crianças, que apresentam importantes implicações quanto ao ensino de uma L2 e à questão da formulação de insumo de excelência (optimal input) para os alunos". Considerando-se que o homem influi sobre os outros homens mediante a linguagem e que esta, por sua vez, se caracteriza como sendo a "chave com a qual é possível abrir o quadro interno de sinais" [15] de seu seme-lhante – no caso, a criança – dentro do contexto sócio-cultural em que se

estabelecem as relações e interações sociais, o papel do professor revela-se de fundamental importância na relação professor-aluno, em particular, no ensino e na aprendizagem eficaz de uma língua estrangeira ou uma segunda língua. Antes de nos determos nas implicações propriamente ditas, nos parece necessário rever, através de diferentes abordagens de ensino, como esta relação tem sido estabelecida e enfatizada nas ferramentas (termo emprestado de Vygotsky) oriundas do ambiente externo que, no caso, são os materiais instrucionais em geral, e o *livro didático*, em particular.

A Relação Professor-Aluno-Livro Didático e L2

Embora a pesquisa em aquisição de segunda língua *(second language acquisition)* date somente de três décadas atrás, tanto Ellis[16] quanto Klein[17] afirmam que já existe uma variedade significativa de "teorias, modelos, leis, abordagens e princípios" sobre como o aluno constrói o seu próprio sistema de regras lingüísticas *(learner's system of rules)*; algumas buscando descrever as diferentes etapas do processo e outras tentando explicar o que, como e porquê o aluno aprende um novo sistema lingüístico. Desdobradas em diferentes metodologias de ensino de idiomas, as referidas teorias têm chegado ao conhecimento e preparo do professor através dos livros didáticos, cuja retrospectiva histórica é apresentada a seguir de forma sintética.

O contexto escolar de ensino de 1° e 2° graus, principalmente o das escolas da rede oficial e o de algumas particulares, ainda hoje constitui-se em ambiente favorável para a implantação de uma abordagem tradicional de ensino de segunda língua. Tendo como referencial teórico a concepção de que o cérebro desenvolve-se por meio de exercícios e que, portanto, "quanto mais se pratica mais se aprende", a aprendizagem em geral é considerada satisfatória se os alunos conseguem traduzir, decorar vocabulário e regras gramaticais na língua-meta, sendo o seu desempenho medido uniformemente por estratégias de avaliação de natureza

quantitativa. Nesse contexto, como em outros tradicionais, a relação professor-aluno é totalmente assimétrica e muito mais de natureza monológica do tipo *one-way communication*, segundo Dulay. Estratégias semelhantes podem ser observadas nos materiais que enfocam o Método Direto. Durante os primeiros meses de aprendizagem, os alunos somente aprendem a produzir e discriminar sons através de transcrições fonéticas, pois a preocupação é com a possível interferência da língua materna. A concepção de aprendizagem de línguas implícita é a de que é possível explicar a língua estrangeira através dela própria – via exemplificação, paráfrases, equivalências semânticas, etc. Outra grande influência nos processos de aprendizagem foi a concepção behaviorista, característica dos materiais instrucionais publicados antes da década de 1960, embora ainda predominante em materiais de publicação recente. Na sua concepção, aprendizagem é um processo mecânico, externo ao indivíduo, cujas condições observáveis são: estímulos, respostas e reforços. Por conseguinte, a fala é anterior a escrita, sendo o professor e as fitas magnéticas os modelos a serem imitados pelos alunos (metodologia audio-lingual), não sendo permitido ao aluno a possibilidade de desenvolver sua criatividade (a nível intrapessoal), nem mesmo a possibilidade de construir a sua interlinguagem *(interlanguage)* dentro do processo ensaio-erro. Em abordagens subsequentes – como é o caso da audio-visual e da audio-oral, consideradas como "a segunda geração do método direto" [18] – pouca ênfase continua a ser dada ao contexto sócio-cultural em que a aprendizagem do aluno se desenvolve. A língua, concebida como algo exterior ao aluno, independe daquele que a fala e daquele que a aprende, podendo nesse sentido ser apreendida de forma uniforme por todos. A relação assimétrica é mais uma vez enfatizada, na medida em que o professor é aquele que detém o poder discursivo, o dono do saber que transmite a informação para aqueles que não sabem, no caso, os alunos. Há uma direcionalidade e uma verticalidade no processo que impedem a liberdade de expressão e de pensamento criativo do outrem.

Sintetizando os diferentes papéis assumidos pelo aluno – ao longo dessas abordagens tradicionais de ensino de L2, – Carneiro [19] faz as seguintes colocações:

> "O desenvolvimento histórico das diversas metodogias (...) permite ver que em cada uma delas o aprendiz é levado a assumir diferentes papéis. Para a metodologia tradicional, ele é principalmente um decifrador, uma vez que não precisa realmente se apropriar da língua estudada. Na metodologia direta, ele assume o papel de *"respondedor"*, visto que o professor, detentor do saber, tem o papel mais ativo. Para o audioralismo, o aprendiz toma as características de um *robô*, pois basta que se repita mecanicamente o que lhe é ensinado, sem fazer uso de sua criatividade. O audio-visual irá transformá-lo, cada vez mais, em um *ator*; à medida que o aprendiz imita as personagens estrangeiras, com elas se identifica; ele se apropria da linguagem destas e, finalmente, da própria personagem". (grifos da autora)

Mais recentemente, como reação às concepções mais tradicionais de ensino de L2 – onde é desprezado o caráter social da linguagem – surgiu a abordagem funcional ou comunicativa das línguas. Partindo de novos pressupostos teóricos – mais no campo da pragmática – enunciativa, da sociolingüística, entre outros – lingüistas, como Bakhtin[20], buscam resgatar esse papel social, ao afirmar que:

> "(...) a verdadeira substância da língua não é constituida por um sistema abstrato de formas lingüísticas nem pela enunciação monológica isolada, nem pelo ato psicofisiológico de sua produção, mas pelo fenômeno social da *interação verbal*, realizada através da enunciação ou das enunciações". (grifo da autora)

O aprendiz passa a ser um sujeito ativo no processo de comunicação, sendo a fala anterior – de caráter monológico – substituída pela fala dialógica, estabelecendo-se uma perspectiva dialética no discurso comunicativo, na medida em que o indivíduo se constrói numa relação de alteridade, num jogo de contraposições enunciativas. O novo papel a ser assumido pelo aprendiz é o de sujeito enunciador, cujo aprendizado deve lhe propiciar condições para que:

- passe a ocupar efetivamente um lugar no ato de comunicação de que participa;
- seja capaz de organizar um sistema de posições que lhe permita representar pelo discurso o que ele quer e precisa significar;

– esteja apto a comparar um sistema de posições, constituído por um interlocutor, com o sistema de lugares que ele, do seu ponto de vista, consegue enxergar;

– disponha dos meios lingüísticos suficientes para poder dizer o que sente e como sente enquanto não-nativo.[21]

A grande revolução que se opera no campo da pedagogia de línguas é oriunda desta percepção de uma outra função da linguagem: a sua função comunicativa, operacionalizada dentro de um contexto sócio-cultural. A partir da década de 80, tanto a seleção como a produção de materiais instrucionais, bem como os procedimentos pedagógicos de sala de aula (incluindo-se aí a questão interacional professor-aluno, aluno-aluno) procuram favorecer tanto a competência gramatical como a competência comunicativa. Há uma preocupação em se trabalhar a L2 não mais dentro de uma metodologia fechada, a fim de que uma comunicação mais *espontânea* ocorra.

Na medida em que se passa a considerar a língua como objeto de apropriação social, onde as novas tendências nas pesquisas lingüísticas são de natureza interdisciplinar (i.e. lingüística, sociologia e psicologia começam a ser postas em contato, além de outras áreas de conhecimento como: pragmática, análise do discurso, etnografia da comunicação, entre outros) parece-nos propício apresentar – no presente estudo – os referenciais vygotskianos supra-citados, na tentativa de melhor elucidar que processos ocorrem na relação professor-aluno quando se estabelece como meta uma aprendizagem eficaz de L2, o quê constitui o terceiro momento do trabalho.

Algumas Considerações sobre Aprendizagem Eficaz de L2

A análise das sete teorias de aquisição de L2, propostas por Ellis[22], nos permitiu delinear – com respectiva clareza – alguns aspectos convergentes entre elas, a saber:

a) as diferentes teorias dão maior ênfase à forma do que à função da linguagem (a questão da comunicação somente aparece em duas teorias, Modelo do Monitor e Modelo da Competência Variável); a preocupação maior é em formar hipóteses e testá-las em relação à maneira como o aluno desenvolve seus conhecimentos internos da gramática e não tanto na maneira como ele competentemente as utiliza na sua comunicação (o que Vygotsky denominaria de linguagem intrapessoal);

b) ao buscarem respostas para o processo de desenvolvimento das estruturas morfo-sintáticas da linguagem, os autores das referidas teorias tentam estabelecer níveis regulares de aptidão lingüística, porém sempre a partir da ótica da forma. O elo forma-função, segundo Ellis, ainda está para ser estabelecido, desde que sejam acrescentados à lista dos componentes básicos de qualquer teoria – o léxico e as habilidades pragmáticas características do uso da língua-meta em situações reais de comunicação; ou seja, a função social da linguagem.

c) o processo de aquisição da gramática tende a ser descrito de forma fragmentada, perpassando tanto para o educador como para o aluno, a idéia de que todo o aprendiz desenvolve sua gramática de forma não integrada, não concomitante com as demais estruturas.

d) via de regra, o enfoque apresentado nas diferentes teorias encontra-se centralizado nos mecanismos *internos* do aluno (mesmo que o insumo seja externo), de forma linear e/ou longitudinal (e não circular ou dialética, como propõe Vygotsky).

Para finalizar, parece-nos relevante salientar ainda que nenhuma das teorias apresenta uma explicação que leve em conta a construção do conhecimento pelo aluno, integrando seu processo de desenvolvimento intelectual ou cognitivo com o seu processo de aprendizagem.

Para Vygotsky, desenvolvimento cognitivo do indivíduo é sinônimo de processo de aquisição da sua cultura, onde o individual e o social são elementos constitutivos de um sistema único de interação. Por conseguinte, pensamento e linguagem são sinônimos; pela sua dinamização inerente, pensamento é também *ação*, pois – segundo Vygotsky – "a consciência humana tem um caráter social; é uma consciência social que se forma na comunicação." Uma linguagem social, portanto, é internalizada sob a forma de um diálogo interior, gerando pensamento e planejamento de ações no indivíduo. Visto nesta ótica, a *questão funcional da linguagem* parece se fazer mais presente na proposta de Vygotsky de uma "psicologia do homem", do que nas teorias de aquisição de L2 mencionadas na introdução do presente trabalho.

Um segundo aspecto a salientar é a contribuição de Vygotsky quanto à importância das vivências culturais no desenvolvimento cognitivo do indivíduo fora do contexto da instrução formal previamente estabelecida e planejada. A importância do conhecimento prévio do aluno (ou seja, o seu desenvolvimento real; o que ele já sabe ou traz consigo para a sala de aula) adquire especial relevância nos pressupostos vygotskianos.

O terceiro aspecto se refere ao papel da Zona de Devenvolvimento Proximal (ZDP) no processo de ensino e de aprendizagem que traz implicações novas quanto ao papel do professor: não mais de centralizador e de modelo a ser imitado, mas como agente promotor de mudanças, num projeto "em parceria" quanto ao desenvolvimento cognitivo do aluno. "Ensinar", portanto, define-se como "algo mais do que oferecer um modelo para respostas espontâneas".

O "ir além", numa perspectiva prospectiva, é o que, em essência quer propor Vygotsky ao criar o conceito de ZDP, visando uma aprendizagem autônoma e eficaz. Segundo Cunha[23], Vygotsky

> "propôs tarefas que estavam além das possibilidades reais do sujeito, de maneira que essas tarefas não seriam cumpridas

mecanicamente. Ele queria constatar se esses estímulos auxiliares transformavam-se em instrumentos de mediação. Esses estímulos auxiliares serviam para guiar o aprendizado ao nível potencial do sujeito. A observação de que, mesmo com níveis iguais de desenvolvimento mental, a capacidade das crianças para aprenderem com a orientação do professor variava, reforçou o conceito de ZDP".

Por conseguinte, ao perceber o aluno como parceiro no processo de dialogação ou de negociação – dentro da abordagem comunicativa no ensino da L2 – o professor propõe tarefas interativas em sala de aula, onde assume papéis mais discretos no gerenciamento dos trabalhos, propiciando espaços cognitivos e afetivos para que os alunos desenvolvam autodeterminação e cheguem a melhor expressar sua individualidade através das trocas interpessoais.

Considerações Finais

"Cada indivíduo é absolutamente único e, por meio de seus processos psicológicos mais sofisticados (consciência, vontade e intenção) constroem seus significados e recriam sua cultura". Ao introduzir esta citação de Oliveira[24] como introdução das considerações finais quanto às implicações pedagógicas que podem ser inferidas a partir das leituras sobre a teoria sócio-histórica de Vygotsky, acreditamos ser ela reveladora de uma nova proposta educacional que vise a construção de um novo ser social, capaz de melhor interagir com sua história e com sua cultura. Vista nesta ótica, uma aprendizagem eficaz de L2 deveria enfatizar mais a função social implícita em um processo de aprendizagem de um idioma , a qual se define como elemento de mediação e de ampliação do mundo vivido do sujeito, através do aprimoramento de seu potencial cognitivo.

Quanto à questão pedagógica, parece-nos relevante destacar que, a viabilização de uma proposta interacional desta natureza implica na não adoção de propostas metodológicas uniformes, visto que tendem a substimar o ambiente e a origem social dos alunos, o que resultaria na não-promoção da verdadeira autonomia do aluno.

Para finalizar, a tentativa de por em contato duas áreas de conhecimento – a psicologia de Vygotsky e a questão interacional no processo de aquisição de uma segunda língua – revelou-se de grande valia para melhor avaliarmos a nossa própria pedagogia, na medida em que nos questionamos:

Se é que consideramos que as nossas aulas de L2 não são nem cultural e nem socialmente neutras, até que ponto elas se caracterizam por ser reveladoras de valores e de comportamentos sociais? Não seria este o verdadeiro caminho para que se desenvolva no aluno a sua autonomia através de uma aprendizagem verdadeiramente eficaz de L2?

Referências Bibliográficas

Citações Introdutórias

VYGOTSKY, L.S. *La formación social de la mente.* apud PALACIOS, Jesús, CARRETERO, Mario & MARCHESI, Álvaro. *Psicologia Evolutiva;* Teorias e Métodos. Madrid: Alianza, 1984.

BREEN, Michael & CANDLIN, C. The roles of the teacher, the learners and the content within a communicative melhodology. in: RICHARD-AMATO, Patricia. *Making it Happen*; Interacting in the Second Language Classroom. N.Y: Longman, 1988.

OLIVEIRA, Marta K. et alii. Mesa Redonda: Três perguntas a Vygotskianos, Wallonianos e Piagetianos. in: *Cadernos de Pesquisa*. São Paulo (76): 57-64, fevereiro de 1991.

No Corpo do Trabalho

[1] RICHARD-AMATO, Patricia. *Making it Happen;* Interacting in the Second Language Classroom. N.Y: Longman, 1988.

[2] BURT, M. & DULAY, H. Optional language learning environments, 1983. apud. RICHARD-AMATO, Patrícia. *Making it Happen;* Interacting in the Second Language Classroom. N.Y: Longman, 1988.

3 VYGOTSKY, L.S. *Historia del desarollo de las funciones psíquicas superiores.* Ciudad de la Habana: Editorial Científico Técnico, 1987.

4 VUIGOTSKIJ, L.S. Método de Investigación. in: ——. *História del desarollo de las funciones psíquicas superiores.* Habana: Editorial Científico-Técnico, 1987.

5 NEWMAN, D. et alii *La zona de construcción del conocimiento*: trabajando por un cambio cognitivo en educación. Madrid: Ediciones Morata, 1991.

6 BRUNER, Jerome. *Realidad mental y mundos posibles.* Barcelona: Atica, 1988.

7 CUNHA, Wagner Moll da. *Reflexões sobre o papel da reflexão na educação de professores de inglês como segunda língua.* São Paulo: PUC-SP, 1992. Dissertação de Mestrado.

8 VYGOTSKY, L.S. *A formação social da mente*; O desenvolvimento de processos psicológicos superiores. Michael Cole et alii (org.). 3ª ed. São Paulo: Martins Fontes, 1989.

9 VYGOTSKY, L.S. *A formação social da mente*; O desenvolvimento de processos psicológicos superiores. Michael Cole et alii (org.). 3ª ed. São Paulo: Martins Fontes, 1989. pág.96.

10 ——. ibid. pág. 97.

11 WERTSCH, J.V. & STONE, C. A. "The concept of internalization in Vygotsky's account of the genesis of higher mental functions". in: WERTSCH, J.V. (ed.). *Culture, Communication and Cognition.* N.Y: CUP, 1985.

12 NEWMAN, D. (vide ref. item 5).

13 VYGOTSKY, L.S. (vide ref. item 8).

14 RICHARD-AMATO (vide ref. item 1).

15 RIVIÈRE, Angel. *La Psicologia de Vygotsky.* Madrid: Visor, 1985.

16 ELLIS,R. *Understanding Second Language Acquisition.* Oxford: Oxford University Press, 1986.

17 KLEIN, Wolfgang. *Second Language Acquisition.* Cambridge: CUP, 1990.

18 CARNEIRO, Vera Lúcia Teixeira. *A Abordagem Intercultural no Ensino-Aprendizagem de Línguas Estrangeiras.* Recife. UFPE, 1992. Dissertação de Mestrado.

19 Ibid. pág. 38.

[20] BAKHTIN, Mickhail. *Marxismo e Filosofia da Linguagem*. São Paulo: Hucitec, 1992.

[21] CARNEIRO, V.L.T. (vide ref. item 18).

[22] ELLIS, R. (vide ref. item 16).

[23] CUNHA, W. Moll da (vide ref. item 7).

[24] OLIVEIRA, Marta K. et alii. Mesa Redonda: Três Perguntas a Vygotskianos, Wallonianos e Piagetianos. in: Cadernos de Pesquisa. São Paulo (76): 57-64, fevereiro de 1991.

Estratégias de Aprendizagem de Línguas Estrangeiras

Vera Lúcia Menezes de Oliveira e PAIVA - UFMG

Os métodos de ensino de língua estrangeira sempre enfatizaram o domínio de regras gramaticais e a aquisição de vocabulário. Até o advento das abordagens comunicativas, o aprendiz não utilizava a língua como um instrumento de comunicação. No método *Gramática e Tradução*, cabia ao aprendiz memorizar regras de gramática e listas de vocabulário para em seguida aplicá-las aos exercícios de tradução e versão. No método *Direto*, a ênfase ficava no ensino acurado da pronúncia e na aquisição de vocabulário através de gravuras, mímicas e demonstrações. A "interação" entre professor e aluno consistia em perguntas e respostas controladas pelo professor. O método *Audiolingual*, baseado no pressuposto de que a língua é um conjunto de hábitos, conferia ao aprendiz o papel de um mero imitador/repetidor de modelos lingüísticos graduados em ordem de dificuldade. Do método de *Gramática e Tradução* ao *Audio-lingual*, reforçava-se a importância do domínio do código lingüístico sem se levar em conta os outros componentes da competência comunicativa.

A Noção de Competência Comunicativa

Em 1972, Dell Hymes afirma que a teoria lingüística precisa ser vista como algo mais geral que englobe a comunicação e a cultura. A gramática passa, então, a ser vista como uma das partes da competência

comunicativa, diminuindo-se assim sua importância. Para ele, quatro parâmetros devem ser usados para verificar a habilidade de uso de uma língua. São eles:

1. *Gramaticalidade* (se, e em que grau, um enunciado é possível) = por exemplo, "Gato o em cima está mesa na" não é gramatical.
2. *Viabilidade* (se, e em que grau, um enunciado é exeqüível) = por exemplo, o período "Eu vi o homem que comprou a casa que foi vendida por uma senhora que é mãe do professor que ensina em uma escola que fica na periferia da cidade de Belo Horizonte" é gramatical, mas não é viável, pois a mente sofre restrições de memória para processá-lo.
3. *Aceitabilidade* (se, e em que grau, um enunciado é apropriado) = não é aceitável, por exemplo, que uma mãe em uma situação de interação normal com seu filho, sem intenção de ser irônica, use a estrutura, "Será que você poderia me fazer a gentileza de ...", para fazer qualquer pedido. Mas essa mesma estrutura é aceitável em interações formais entre pessoas estranhas.
4. *Ocorrência* (se, e em que grau, um enunciado ocorre) = há estruturas que são gramaticais, viáveis, aceitáveis, mas, no entanto, não ocorrem em situação de uso real. Inúmeros exemplos desse tipo são encontrados nos livros didáticos, como aquela famosa frase, "O leite, que é branco, é um alimento nutritivo" que, provavelmente, nunca foi produzida em uma interação real e que só serve para demonstrar o que é uma oração adjetiva explicativa.

Outros modelos de competência comunicativa foram desenvolvidos e o que mais se destacou foi o modelo de Canale e Swain (1980), mais tarde aperfeiçoado por Canale (1983). Para eles a competência comunicativa divide-se em 4 partes:

1. *Competência gramatical* = domínio do código lingüístico (incluíndo vocabulário, gramática, pronúncia, ortografia e formação de sentenças e palavras);

2. *Competência sociolingüística* = domínio de uso das estruturas lingüísticas em contexto apropriado, incluindo fatores tais como status dos participantes, propósito da interação, normas e convenções interacionais;

3. *Competência discursiva* = habilidade em combinar idéias com coesão e coerência acima do nível frasal, em textos orais ou escritos, de diferentes gêneros;

4. *Competência estratégica* = domínio de estratégias de comunicação verbal e não-verbal usadas para:

    a) compensar falhas na comunicação e lapsos de memória – como exemplo, podemos citar a paráfrase.

    b) realçar a eficiência da comunicação – um exemplo é a modulação de voz para efeito retórico.

Se é verdade que os métodos de ensino de línguas sempre enfatizaram a competência lingüística em detrimento da comunicativa, como podemos, então, explicar que muitos aprendizes tenham se transformado em falantes competentes? Duas hipóteses parecem viáveis. A primeira é a de que os aprendizes adquiriram competência comunicativa porque tiveram muito *input*, ou seja, foram expostos à língua de forma espontânea. A segunda hipótese é de que os aprendizes utilizaram estratégias individuais de aprendizagem. De uma coisa temos certeza – apesar dos métodos, os alunos aprendem e isso acontece em decorrência da autonomia exercida pelos aprendizes. As pesquisas têm demonstrado que os aprendizes mais bem sucedidos são aqueles que possuem maior autonomia em relação à sua aprendizagem. Segundo Dickinson (1992), uma das formas de ajudar os alunos a serem mais eficientes em sua aprendizagem é "compartilhar com eles aquilo que sabemos sobre a aprendizagem de forma tal que eles se tornem mais conscientes do que significa a tarefa de aprender uma língua e saibam como reagir às barreiras que possam aparecer".

Estratégias de Aprendizagem

As estratégias de aprendizagem são recursos que o aprendiz utiliza para resolver certos problemas, como por exemplo, aumentar o vocabulário, melhorar a pronúncia, dominar uma estrutura gramatical, etc. As estratégias de aprendizagem sempre foram utilizadas pelos aprendizes, mas só recentemente têm recebido a atenção dos educadores em geral. O'Malley e Chamot (1990) apresentam uma classificação geral das estratégias composta de 3 grupos: estratégias metacognitivas, cognitivas e socio-afetivas. As estratégias Metacognitivas se subdividem em: atenção seletiva; planejamento; monitoração; e avaliação. As cognitivas em: repetição para memorização; organização; inferência; sumário; dedução; uso de imagens; transferência; e elaboração. As estratégias socio-afetivas se sudividem em: cooperação; perguntas para esclare-cimento; e auto-sugestão.

Rebecca Oxford (1990) classifica as estratégias de aprendizagem em dois grandes grupos, estratégias diretas e estratégias indiretas, que por sua vez se subdividem em três grupos cada.

I. Estratégias diretas: de memória; cognitivas; e de compensação.
II. Estratégias indiretas: metacognitivas; afetivas e sociais.

Vejamos agora como cada uma delas se subdivide.

I. ESTRATÉGIAS DIRETAS

1. Estratégias de memória

A. criação de elos mentais
  1. agrupar: sinônimos, antônimos, ou campo semântico.
  2. associar/elaborar: relacionar informação nova com outras já existentes na memória.
  3. colocar palavras novas em contexto: ex.fazer frases.

B. utilização de imagens e sons

1. imagens = gravuras, desenhos.
2. mapa semântico = organizar palavras em um desenho que tenha no centro ou no topo um conceito chave ao qual outros são ligados através de linhas ou setas.
3. palavras chaves = elos auditivos, isto é, associar palavras da L2 a palavras da L1 que têm sons semelhantes.
4. representação de sons na memória = ex. usar rimas para lembrar.

C. revisão efetiva (a revisão auxilia na memorização)

1. revisão estruturada (revisão em intervalos regulares que podem ir se espaçando a medida que a informação torna-se natural e automática).

D. emprego de ação

1. uso de sensações ou respostas físicas.
2. uso de técnicas mecânicas = ex. cartão relâmpago.

2. Estratégias cognitivas

A. Praticar

1. repetir.
2. praticar formalmente sons e ortografia.
3. reconhecer e usar fórmulas, paradigmas e expressões formulaicas: ex. Hello, how are you? It's time to
4. recombinar = ex. unir orações.
5. praticar de forma natural = ex. conversar, ler.

B. Receber e enviar mensagens

1. apreender a idéia com rapidez: achar idéia principal (skimming) e achar detalhes (scanning)
2. usar recursos para captar e enviar mensagens através de:
   a. meio impresso: dicionário, glossário, gramática, etc;
   b. meio não-impresso: video, rádio, cinema, etc.

C. Analisar e raciocinar

1. raciocinar dedutivamente (aplicar regras).
2. analisar expressões (dividir em partes).
3. analisar contrastivamente (comparar sons, vocabulário, estruturas).
4. traduzir.
5. verter.

D. Criar estrutura para *input* e *output*

1. tomar notas.
2. fazer resumos.
3. focar a atenção (highlighting), sublinhar, marcar, colocar asteriscos.

3. Estratégias de Compensação

A. adivinhar de forma inteligente

1. usar pistas lingüísticas = cognatos, prefixos.
2. usar outras pistas = estrutura do texto, conhecimento do mundo, conhecimento dos participantes.

B. Superar limitações da fala e da escrita

1. recorrer à língua materna.
2. pedir ajuda.
3. usar mímica e gestos.
4. evitar comunicação de forma parcial ou total.
5. selecionar o tópico.
6. ajustar ou aproximar a mensagem = alterar a mensagem, omitindo itens, simplificando as idéias. ex. usar pencil no lugar de pen.
7. criar palavras = ex. paperholder em vez de notebook.
8. usar circunlocução ou sinônimo. ex. dishrag = what you use to wash dishes with

II. ESTRATÉGIAS INDIRETAS

1. Estratégias metacognitivas

A. Centrar a aprendizagem

1. apreender e relacionar com material já conhecido.
2. prestar atenção.
3. retardar a produção oral para focar na audição (período silencioso).

B. Planejar a aprendizagem

1. fazer descobertas sobre a aprendizagem de língua.
2. organizar = espaço físico, luz, horário.
3. estabelecer metas e objetivos, ex. meta = corresponder no final do ano com alguém no exterior; ex. objetivo = ler um livro.
4. identificar o propósito de uma atividade, ou seja, ouvir, falar, ler, escrever com um propósito definido.
5. planejar para uma tarefa .
6. procurar oportunidades para praticar.

C. Avaliar a aprendizagem

1. auto-monitoração (identificar os erros).
2. auto-avaliação (avaliar o próprio progresso).

2. Estratégias afetivas

A. Diminuir a ansiedade

1. relaxar progressivamente, respirar fundo, meditar (através de imagem mental ou som).
2. usar música.
3. rir = assistir uma comédia, ouvir/ler piadas.

B. Encorajar-se

1. fazer afirmações positivas (que tal no diário?) ex. I'm reading faster. Everybody makes mistakes. I can learn from mine.
2. correr riscos de forma inteligente.
3. gratificar-se.

C. Medir a temperatura emocional

1. ouvir seu corpo (estou feliz, tensa?).
2. usar *check lists* (auto-avaliação).
3. escrever um diário (data/ lição do livro/ atividades principais/ como foi meu desempenho/ quais foram minhas dificuldades).
4. discutir seus sentimentos com alguém (Que dificuldades ainda tenho?).

3. Estratégias sociais

A. fazer perguntas (pedir para repetir, dar exemplo, parafrasear, explicar, falar mais devagar)

1. pedir esclarecimentos.
2. pedir correções.

B. cooperar com os outros

1. cooperaração entre pares.
2. cooperação com falantes proficientes.

C. solidarizar-se com os outros

1. desenvolver comprensão cultural (tentar entender a cultura do outro).
2. conscientizar-se a respeito dos sentimentos e dos pensamentos dos outros.

Conclusão

O professor que acredita na autonomia como facilitadora da aprendizagem deve persuadir seus alunos a usar estratégias mais eficientes, respeitando, no entanto, os estilos diferentes da aprendizagem. A promoção de discussões sobre o processo de aprendizagem também pode contribuir para o sucesso dos alunos, pois, ao adquirir consciência sobre o processo de sua própria aprendizagem, o aluno poderá avaliar-se,

estabelecer seus objetivos e melhor planejar suas atividades, tomando a si o controle de sua aprendizagem.

Segundo Vieira (1994:20), é fundamental que o professor seja o facilitador da autonomia do aluno e isto só é possível se o professor for crítico de seu próprio trabalho, aberto à negociação, atento às necessidades e aos problemas dos alunos, disposto a compartilhar responsabilidades e bem informado sobre sua área de trabalho, o que não inclue apenas o componente lingüístico.

Referências Bibliográficas

CANALE, M. & SWAIN, M. Theoretical bases of communicative approaches to second language teaching and testing. In: *Applied Linguistics*, v.1, n.1, p.1-47, 1980.

CANALE, M. From communicative competence to communicative language pedagogy. In: RICHARDS, J. C. & SCHMIDT, R. (Eds.) *Language and communication*. London: Longman, p.2-25, 1983.

DICKINSON, Lesley. Self-instruction in language learning. Cambridge: Cambridge University Press, 1987.

HYMES, D. On communicative competence. In: PRIDE, J. B. & HOLMES, J. (Eds). *Sociolinguistics*. Harmondsworth: Penguin, p.269-93, 1972.

O'MALLEY, J. M. & CHAMOT, A. U. *Learning strategies in second language acquisition*. Cambridge: Cambridge University Press, 1990.

OXFORD, Rebecca. *Language learning strategies*. New York: Newbury, 1990.

VIEIRA, Flávia. Teaching for autonomy. In: *Practical English Teaching*, v. 14, n.3, p.19-21, March, 1994.

Inglês Instrumental: Using Strategies to Teach English as a Foreign Language

Reinildes DIAS - UFMG

Although its position seems secure in the majority of Brazilian undergraduate first-year courses of different backgrounds and in technical schools at high-school level, the teaching-learning process of *inglês instrumental* has often been the focus of unfounded criticism indicating that a lot of misunderstanding still prevails. A point to make at the outset is that this process is firmly grounded on sound theoretical and applied research, mainly from the perspectives of psycholinguistics, discourse analysis, reading theories, and cognitive science (Bradsford & Johnson, 1979; Dooling & Lachman, 1971; Leahey & Harris, 1989; Nuttall, 1983; Meyer, 1985; Smith, 1988; Rumelhart, 1980; West, Farmer & Wolff, 1991; Widdowson, 1983) and a lot of research has already been developed in our context (Dias, 1986; 1987; 1992; 1993; 1994; Kleiman, 1990a; 1990b; Santos, 1986).

This paper intents to take the research already carried out in Brazil and abroad as the basis for the discussion of some points which still seem obscure in the attempt to shed some light over existing misconceptions concerning *inglês instrumental*. The paper will focus on questions which remain either unanswered or poorly understood with the purpose of discussing the role of *inglês instrumental* as a communicative teaching approach, its theoretical basis, its use of reading strategies, its current

trends, and its importance and appropriateness for the context of teaching English as a foreign language at the high-school level in Brazil. The main argument is that conventional methods for teaching English as a second language cannot be adapted (and are no longer used) in our specific teaching-learning situation.

Inglês Instrumental or English for Specific Purposes?

English teaching specialists and students alike tend to be unsure whether there is a difference between these two terms and misunderstanding often arises. In addition to *English for Specific* (or *Special*) *Purposes* (ESP), the term *Language for Specific Purposes* (LSD) is also existent. In reality, both have somewhat the same meaning and refer to the teaching of a certain language for a specific objective based on students' most prevalent needs. The main goal may be the teaching of either reading, or writing, or speaking, or listening, or even the teaching of a combination of two or more abilities. For instance, an English course can be designed for pilots and stewardesses for whom the major focus of interest is the oral communication. As a consequence, *speaking* and *listening* would be selected with the aim of attaining the students' major need which is the ability to exchange information with English-speaking people (passengers or job personnel). The course goals would include the ability to carry on a conversation with a passenger who is not feeling well, ask questions about weather conditions, or give information through the microphone, etc.

On the other hand, reading would be the main ability to be emphasized with students who are being prepared for entering graduate courses which require proficiency in the English language for research purposes. In the Brazilian context, the term *Inglês Instrumental* has been used as equivalent to both ESP and LSP, where the word *instrumental* indicates the use of English as an *"instrument"* (or tool) for either job advancement or academic improvement (or both). Moreover, reading is the ability

which has been mainly focused on in our courses, based on our students' needs and present or future goals. My instructional material, for example, is directed to the development of reading fluency in English with writing and listening as enriching activities to the interpretation process (Dias, 1993).

Courses in *inglês instrumental* (or ESP, or LSP) have similarities as well as attributes that distinguish them from the conventional methodologies for teaching English for general use. These likenesses and differences relate to content, the context for language use, and the needs and objectives of learners. The main point in common is that, like the conventional approach, courses in *inglês instrumental* are communicative and also explore the view of language as a means of communication. Furthermore, both types of courses deal with students' vocabulary expansion and share the concern with authentic materials taken from magazines and journals to be used in the classroom. There is also an attempt to produce language activities that are meaningful and closer as possible to real-life reading situations.

Another point to make is that the use of communicative activities such as role playing, filling in crosswords, listening to and interpreting pop songs, listening to news (from a tape) and writing down a summary about the heard information are part of both types of courses. Moreover, both approaches have to be efficient and motivating for the students who are taking them.

The major difference, however, lies in the context in which the language is learned. In ESP courses learning activities are normally drawn from either specific professional content or from areas of study such as chemistry, or biology, or ecology aiming at approximating students' needs to the use of language in the classroom. For instance, a real-life dialogue between a stewardess and a passenger, or a set of instructions on how to operate a certain type of equipment to be acted upon can be incorporated into the teaching event. Emphasis thus shifts from the exclusive

development of basic skills to the use of the language in professional or academic contexts. Moreover, courses in *inglês instrumental* may focus on just one of the abilities (with the complement of the others) to cater for students' needs and this perspective is seldom adopted in courses for general English.

Another distinguishing attribute is that *inglês instrumental* which is directed to the teaching of reading makes a systematic use of strategies in the attempt to teach students how to read more efficiently with the ultimate goal of developing their autonomy. As a result, there is a constant concern with raising their awareness of the utility of reading strategies for a better and more adequate processing of information in English.

Theoretical Background

Inglês instrumental is a branch of the communicative approach and as such encompasses the main features of this orientation to language teaching. It includes, for instance, the notion that language must be taught for communicative purposes to fulfill its social function, *"a view in which meaning and the uses to which language is put play a central part"* (Brumfit & Johnson, 1981, p. 3).

The choice of reading as the main focus for the teaching event means that reading will be considered as a communicative task. This implies the use of authentic texts extracted from their original sources as classroom materials. This also implies that the reading activities will be designed so as to approximate real-life reading tasks where the person reads either for pleasure, or for extracting some specific piece of information, or for researching purposes. In this way, reading will be taught to achieve its social functions with the students being engaged in a more meaningful processing of information. Therefore, *inglês instrumental* is an approach which is prone to recognize the prime importance of the communicative features of language and sets its teaching strategies in this direction in an appropriate way.

Another important point is that reading is viewed as an interactive process involving both the information in the text and the reader's *knowledge of the world* which is brought to the reading task. (Dias, 1986; 1993; 1994; Rumelhart, 1980; Widdowson, 1983). This indicates that the reader relies on knowledge he/she already has internalized in his/her cognitive structures to grasp the new incoming information, to adequately process it, and to encode it for future use (see a description of this process in Dias, 1994).

Moreover, several experiments have already been carried out to provide evidence for the relationship between old and new information when the reader is engaged in the interpretation process (Brandsford & Jonhson, 1979; Dias, 1993; 1994; Dooling & Lachman, 1971; Guimarães & Dias, 1992; Wittig & Williams, 1984). This research also supports the view that the same text may be read from different perspectives depending on the previous knowledge that is activated during comprehension. A point to reiterate is that a *"spoken or written text does not in itself carry meaning; rather it provides directions for listeners or readers on how to use their own stored knowledge to retrieve and construct the meaning"* (Leahey & Harris, 1989, p. 201). Reading is thus a dynamic activity which involves the reader in *"a negotiation of meaning"* (Widdowson, 1983, p. 63), a perspective which inglês instrumental fully incorporates into its teaching strategies.

Another important aspect of inglês instrumental is that this teaching approach capitalizes on the use of the nonverbal component of discourse as a strategy to facilitate the reading process (Dias, 1987). In fact research provides us with evidence that the communicative function of a text is not conveyed exclusively by verbal means - nonverbal elements contribute to the whole communicative meaning as well, either by supplementing verbal statements, or replacing them, or providing a general idea of what the text is about, or still as a visible form of the verbal information as, for example, in graphs (Dias, 1987; 1993; Nuttall, 1983; Widdowson, 1983). Therefore, the rationale underlying the use of the nonverbal

information is that the reader who does not have a complete command of the verbal component yet may make use of the nonverbal counterpart to initiate his/her negotiation of meaning (Dias, 1987; 1993). As examples of elements of the nonverbal code we can mention the illustrations, graphs, diagrams, pictures, the typographical indices of organization, the typographical devices for placing emphasis, formulas, the page layout etc. An intensive exploitation of the nonverbal information as a reading strategy is undoubtedly a major contribution of inglês instrumental to the recognition of this component as an essential part of written discourse.

An additional aspect of inglês instrumental as a teaching approach is
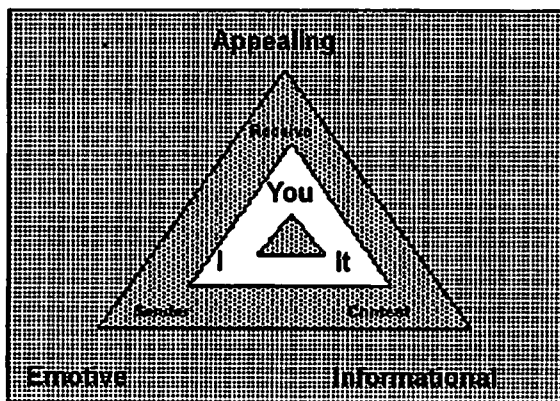

Figure 1: Three types of texts

that it considers the written part of discourse as a coherent whole and not simply as a set of sentences put together. Consequently, it includes strategies to teach students how to see the verbal component as a complete meaningful entity so as to facilitate their processing of information in English.

For example, one of the adopted teaching strategies is that of classifying texts according to the overall pattern into which they have been structured. This in turn will group texts into three types: (1) the informational or denotative; (2) the emotive or connotative; and (3) the appealing or persuasive (see Figure 1) (Dias, 1993).

Informational texts tend to focus on the subject-content that is being conveyed and are seemingly more objective; emotive texts concentrate on the sender of the message as in poetry and, as result of that, are more subjective, revealing the author's viewpoint and commitments more clearly. An appealing text tends to focus on the receiver of the message aiming at persuading the reader about its intended message. Advertisements are typical examples of text of appeal. The student has to be made aware of the fact that each of these types of texts fulfills different functions. Furthermore, they must include this awareness as a reading strategy to facilitate the interpretation process (Dias, 1993). Another crucial point that students have to learn is that a clear-cut distinction among the three types of texts is hard to establish and some overlapping normally takes place.

For example, the informational text often contains elements of the other two types of texts, materialized in the author's point of view that is being defended in the text, the commitment to the scientific truth he/she wants to reveal (or uncover), the rhetorical features that are being used to persuade the readers. The teaching strategy of classifying the texts according to their overall pattern and of making students aware of the fact that some overlapping always exists can help students to develop their ability to read a text in a more critical way. Students are provided with the tools which enable them to detect the structures and the use of words which implicitly or explicitly reveal the author's own viewpoint thus having the opportunity to assess the validity of this perspective against their own position.

Another strategy is that of raising students' awareness of the fact that written discourse organizes its intended message around certain

rhetorical patterns such as those of exemplification, enumeration, definition, comparison, contrast, chronological sequence, cause-effect relationships, preview statements, summary statements. Students should be further informed about discourse markers as, for example, *consequently, moreover, in the same way as* which signal these methods of paragraph development (Dias, 1993; Mayer, 1985; Santos, 1986). This, in turn, will help them read in English in a more efficient way.

In short, inglês instrumental deals with the verbal component of written discourse by showing students how the ideas are interrelated inside a text to express coherence and cohesiveness. The strategy consists of presenting the whole, that is, the text as a complete entity which informs about a particular subject-content or which conveys the author's point of view or commitments or which persuades the reader about a certain object or idea. Then, paragraphs are analyzed to discover which rhetorical patterns have been used, followed by the recognition of signal words which can be used as clues in the interpretation process (Dias, 1993). So there is a concern with the strategy of going from the whole to the parts in the attempt to facilitate students' processing of information.

The Use of Strategies

The incorporation of strategies into the teaching event is also a key major component of inglês instrumental. This perspective is so important in inglês instrumental that I will present some discussion about strategies and their role in helping students read better in English. In fact some of these roles have already been discussed above. Strategies can be defined as mental operations that students make use of to acquire, retain, and retrieve different kinds of knowledge. They have been classified in a number of different ways and one of these classifications groups them into four families: (1) chunking or organizing strategies, (2) spatial strategies; (3) bridging strategies, and (4) multipurpose strategies (West, Farmer, & Wolff, 1991) (see Figure 2) (Dias, 1994).
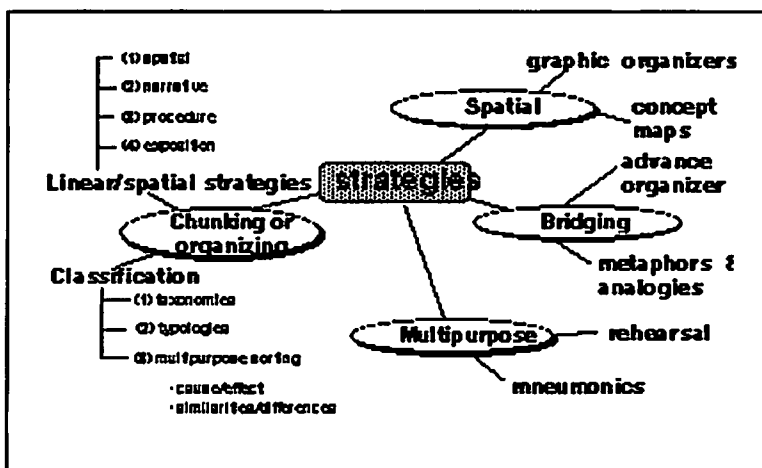
Figure 2: Four families of strategies

These strategies are either given by the instruction itself or generated by the students themselves. Inglês instrumental makes use of these two functions of strategies when developing students' awareness of the key role they play in the interpretation process.

Chunking Strategies

These organizing strategies have the purpose of allowing learners to capture in a glance some of the main relationships established in a textual material in a structured way. By reducing the complexity of many relationships inside a text, these organizers help readers avoid information overload which hinders interpretation and understanding. Without the development of these chunking strategies, intellectual management of the very complex environment would probably be

impossible. For instance, important information that students have to retain may be chunked so as to facilitate the processes of perception, interpretation and encoding which take place in reading comprehension. On the other hand, students may also be encouraged to group key information from a text in a structured way. Better retention of information can result from this generation of meaning from their own perspective.

Spatial Strategies

These strategies explore a two-dimensional perspective to provide a graphical arrangement of a substantial amount of information. They have the advantage of the chunking strategies in addition to being more visual. They have the characteristics of both the verbal and image codes. For instance, they explain and describe the relationships about concepts by means of words (having, though, the characteristic of texts). Like images (pictures), on the other hand, they convey meaning through the exploitation of the two-dimensional space. Examples of such strategies are graphic organizers and concept maps. While graphic organizers comprise a great variety of grid-like arrangements like frames, diagrams, tables and so forth, concept maps involve the highlighting of concepts and specific relations between connecting concepts, normally in a hierarchical fashion (Dias, 1993; 1994).

This graphic organizer (Figure 3) can be given by the teaching event to fulfill different goals. It can provide, for example, an overall idea about the content of the coming text and various aspects of pollution and acid rain can be discussed to elicit previous knowledge about these two phenomena and the relationship between them. In addition to that, aspects of vocabulary and of textual organization can be discussed before reading the text for details. Students can even be asked to write short paragraphs about certain parts of the graphic as, for instance, a paragraph about preventive measures to acid rain or the pernicious

Pollution

Damages to our environment — examples are:

- **thermal**
  - Water back from power-stations is warm.
  - Warm water does not have enough oxigen for fish and water animals
- **air**
  - Chemical waste from factories, farms, motor cars, and houses .
- **litter**
  - Cans, waste paper, and other rubbissh thrown away by people
  - apple cores / orange peel → rot away quite quickly
  - plastic materials → never decay away

Acid Rain

- **Caused by air pollution**

  | coal / oil / petrol | burned → smoke → | sulphur dioxide / nitrogen dioxide |

  weak acids ← Water droplets ← Atmosphere

- harmful to water, animals and plants
- difficult to control

- **effects**
  - attacks trees and other plants
  - kills fish and water animals
  - corrodes metal work
  - attacks some types of concrete
  - pollutes drinking water

- **Prevention**
  - Using coal and oil which contain less sulphur
  - Cleaning waste gases before releasing them from chimneys.
  - Fitting cars with devices to clean the exhaust smoke.

  - Expensive methods
  - Some companies and some governments prefer not to spend enough money in prevention.
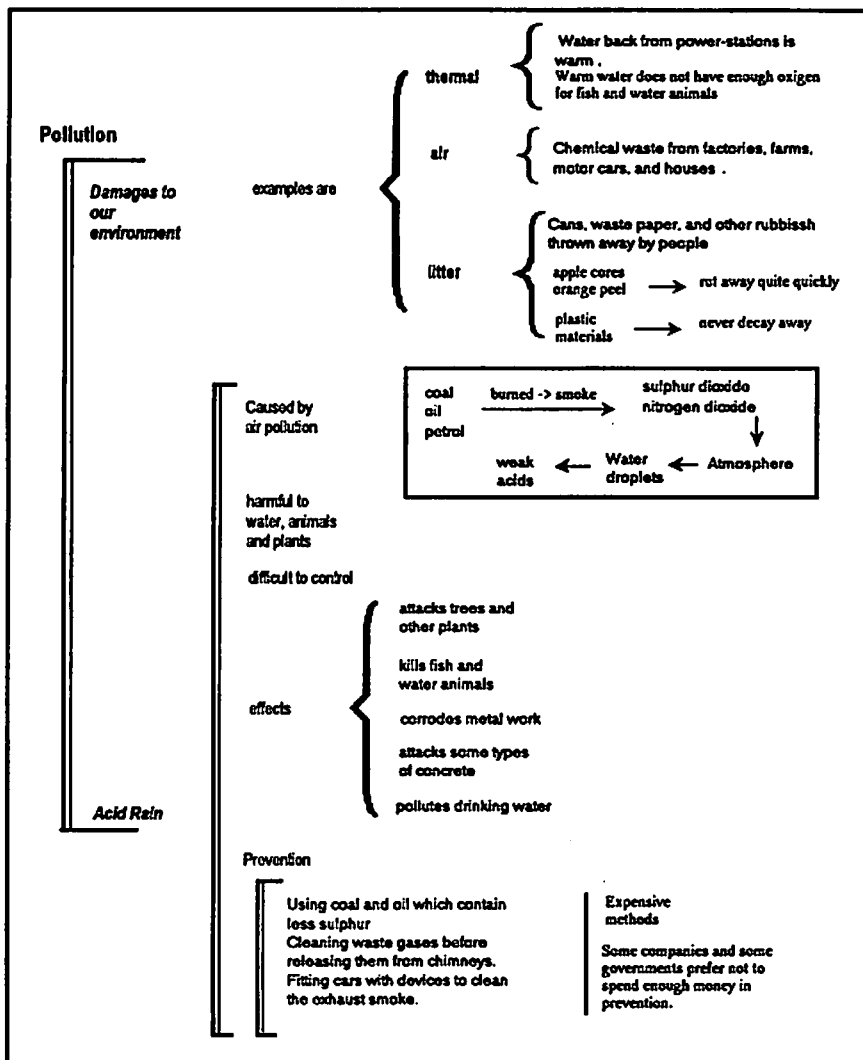
Figure 3: Pollution & Acid rain

effects of acid rain, etc. These instructional means will help students fully process the coming text in a more meaningful way.

Another beneficial perspective of the use of this organizer in a reading class is that of asking students to produce the graphic themselves based on a text they have read. This way they will be reconstructing the information from their own point of view, which will eventually entail better encoding and retention of information for future use.

Bridging Strategies

These strategies have the function of acting as a bridge between existing knowledge and new information that will be processed. They have the capability of helping learners recall what they already know and transfer that knowledge to new topics. In this family are aids to processing such as advance organizers and analogies (Dias, 1994).

An example of the use of an advance organizer in a reading class is that of presenting a new unit to be learnt by establishing relationships with the unit presented before. Based on students'previously acquired knowledge, the introductory paragraph in the form of an advance organizer will act as a bridge between existing knowledge and new incoming information which will be processed. This strategy is normally instruction-based and students are seldom required to produce it from their own standpoint.

Multipurpose Strategies

These are bottom-up strategies because they are driven by the parts of the content rather than by holistic mental constructs. They are means of learning the parts and the details as opposed to getting the big picture which can be provided by chunking and spatial strategies. They allow the mastery of manageable chunks. Included here are rehearsal and

mnemonic strategies. As rehearsal strategies, teaching situations may be created to help students learn the parts of discourse which signal textual organization. For example, markers like *moreover, nevertheless, on the contrary* can be associated with the rhetorical pattern of contrast and meaningful encoding of information can take place. Learning the parts may help students in the task of interpreting the whole entity (which, in turn, will help them comprehend the parts, as mentioned before).

Furthermore, as a mnemonic strategy, the past and the past participle of irregular verbs may be chunked according to similar structural forms and several groups may result (Dias, 1993). For instance, verbs like *drive*, *write* will be put together in a certain group, while verbs like *swim*, *sing*, *drink* will be gathered in another group. Their similar structural forms in the past and past participle may act as aids to memory thus facilitating the encoding of information as well as its retention for future use.

Inglês Instrumental and the Teaching of English as a Foreign Language

Any language may be taught either as a second or as a foreign language, meaning that the former perspective sets learners' fluency in the four abilities as a goal to be attained, while in the latter point of view the end objective may be fluency in only one of the abilities with the complement of the others. In this case, learning the language corresponds to the attainment of students' most prevalent needs. If we accept these differential attributes, we can say that *inglês instrumental* is an approach directed to teaching English as a foreign language.

Furthermore, differences between teaching English as a second or as a foreign language make us realize that a distinguishing rationale underlies each perspective, together with the principle that different end objectives lead to distinct methodologies. Teaching English as a second

language requires, for instance, homogeneity of students' level in the classroom, a small number of students (maximum of 20) per group, teachers' fluency, longer periods of classes, a situation which does not match the teaching reality at high-school level in Brazil.

On the other hand, teaching English as a foreign language with focus on one of the abilities with the complement of the others may be suitable to the reality of our students who are taking high-school courses. This paper argues that *inglês instrumental* could be the adopted teaching approach to develop students'. fluency in reading a second language for job advancement or research purposes. To deny students the opportunity to learn English for reading purposes is to close our eyes to the reality of our university entrance examinations as well as to the acceptance of English as the language of the scientific community. In addition to that, it can be further argued that *inglês instrumental* as an approach fits more appropriately the Brazilian context of teaching English at high-school level.

A point to make clear is that a current view of *inglês instrumental* as a teaching approach no longer emphasizes the development of only one of the abilities – the others are normally used as supplementary activities. A course may, for instance, pay closer attention to reading and writing and use listening and speaking as enriching counterparts. Watching movies, listening to songs, reporting a summary of a text orally may be suitably used as communicative activities in a reading course. Furthermore, grammar – both in the form of discourse grammar as well as conventionally – may also be incorporated as reading strategia to facilitate the interpretation process.

Concluding Remarks

This paper aimed at clarifying some misunderstanding which still prevails about *inglês instrumental* as a teaching approach. It has also discussed its appropriateness to the Brazilian educational system,

especially at high-school level. A focus on the development of fluency in reading and the use of writing, listening, and speaking (at the level of reporting reading experiences) may be a more balanced perspective for the forty-student English classes in our context.

References

BRANSFORD, J. D., & JOHNSON, M. K. Contextual Prerequisites for Understanding: Some Investigations of Comprehension and Recall, *Journal of Verbal Learning and Verbal Behavior*, *11*, 717-726, 1972.

BRUMFIT, C.J., & JOHNSON, K. The Linguistic Background. In: C. J. BRUMFIT, & K. JOHNSON. (Eds.), *The Communicative Approach to Language Teaching*. Oxford: Oxford University Press, p. 1-09, 1981.

DIAS, R. The Interaction of cognitive issues and the reading process, *The ESPecialist*. São Paulo: EDUC. *14*, 01-14, 1986.

DIAS, R. The Use of nonverbal elements of discourse and visual devices in the teaching of foreign language reading, *The ESPecialist*. São Paulo: EDUC. *17*, 01-29, 1987.

DIAS, R. Some considerations about the design and development of print-based instruction for ESP (English for Special Purposes). *The ESPecialist*. São Paulo: EDUC. *1*, 01-33, 1992.

DIAS, R. *Inglês instrumental: Reading critically in English*. Belo Horizonte: Editora UFMG, 1996.

DIAS, R. Towards Autonomy: The integration of learner-controlled strategies into the teaching event. In: V. J. Leffa. (Ed.), *Autonomy in Language Learning*. Porto Alegre, RGS: Editora da Universidade, p. 13-24, 1994.

DOOLING, D. J., & LACHMAN, R. Effects of comprehension on retention of prose. *Journal of Experimental Psychology*, 88, 216-222, 1971.

Guimarães, A.M. & Dias, R. Some considerations for the design and implementation of an instructional HyperCard-based simulation. *Simulation/Games for Learning*, 22, (1), p. 16-31. 1992.

KLEIMAN, A. *Coerência Textual*. São Paulo: Ed. Contexto, 1990a.

KLEIMAN, A. *Coesão Textual*. São Paulo: Ed. Contexto, 1990b.

LEAHEY, T. H., & HARRIS, R. J. *Human Learning* (2nd ed.). Englewood Cliffs, NJ: Prentice Hall, 1989.

MEYER, B. Signalling the Structure of Text. In: JONASSEN, D. H. (Ed.), *The technology of text: principles for structuring, designing, and displaying Text.* Englewood Cliffs, NJ: Educational Technology Publications, vol. 2, p. 59-89, 1985.

NUTTALL, C. *Teaching reading skills in a foreign language.* London: Heinemann Educational Books, 1983.

RUMELHART, D. E. Schemata: the building blocks of cognition. In: SPIRO, R. J., BRUCE, B. C. & BREWER, W. F. (Eds.), *Theoretical Issues in Reading Comprehension: Perspectives from cognitive psychology, linguistics, artificial intelligence, and education.* Hillsdale, NJ: Lawrence Erlbaum, p. 33-58, 1980.

SANTOS, V. S. Signposts to comprehension: do readers use discourse markers to help them to understand a text?, *The ESPecialist.* São Paulo: EDUC. *18*, 23-44, 1987.

SMITH, F. *Understanding Reading: A psycholinguistic Analysis of Reading and Learning to Read* (4th ed.). Hillsdale, NJ: Lawrence Erlbaum, 1988.

WEST, C. K., FARMER, J. A., & WOLFF, P. M. *Instructional design: Implications from cognitive science.* Englewood Cliffs, NJ: Prentice Hall, 1991.

WIDDOWSON, H. G. *Teaching language as communication* (4th. ed.). Oxford: Oxford University Press, 1983.

WITTIG, A. F., & WILLIAMS, G. *Psychology: An introduction.* New York: MacGraw-Hill, 1984.

Phonology and Pronunciation
for Practising Teachers

Kevin John KEYS - UFMG

This paper reports on a course in phonology given during the *XI Semana de Estudos Germânicos*. The course was aimed at English language teachers who were already in service or had some experience of English language teaching (ELT).

1. The first stage of the course dealt with the importance of phonological skills in both first and second language acquisition (FLA/SLA). The problems for non-native speakers (NNSs) of English in this area were discussed in terms of acquiring, maintaining and teaching phonological skills and awareness. This introduced the notion of performance or attainment criteria: the question of what standard the average learner can achieve whilst studying English in a non-English speaking environment.

2. The course then dealt with a brief outline of the phonological characteristics of Brazilian Portuguese, including a comparison with Standard British English (BrE) and General American English (GAm). The possibilities of first language interference on the acquisition and control of target language phonemes was discussed.

3. The practical areas covered by the course were as follows:

- segmental phonology
- suprasegmental phonology, including:
    - word stress
    - rhythm and stress over phrases
    - intonation
    - spelling (grapheme-phoneme correspondences (GPCs)).

Suggestions for classroom work in these areas were tested and discussed. Furthermore, extensive practice in using the phonemic chart (in the form designed by Adrian Underhill, International House, Hastings, England) in English was given.

Conclusion

An (E)FL teacher who is not competent in the areas of phonology and the teaching of pronunciation to a reasonable standard is not fully qualified as a teacher. The course demonstrated that it is far from impossible to achieve and maintain a high standard of phonological skills and therefore to pass those skills on to learners.

Bibliography

CLARK, John and Colin Yallop. *An Introduction to Phonetics and Phonology*. Oxford: Blackwell, 1990.

ROACH, Peter. *English Phonetics and Phonology: a practical course*. Cambridge: Cambridge University Press, 1990.

UNDERHILL, Adrian. *Sound Foundations*. London: Heinemann, 1994.
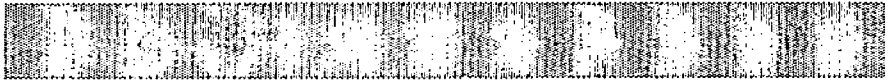
Literaturas em Expressão Inglesa

Teaching American Literature in the Postmodern Age

Ana Lúcia Almeida GAZOLLA - UFMG

> Não posso esquecer o que já li.
> Não posso esquecer onde vivo.
>
> Caetano Veloso

Caetano Veloso provides the epigraph to this essay: "I cannot forget what I have already read; I cannot forget where I live." I take this epigraph as a point of departure for my reflections on the nature of the discipline to which my institutional practice is related, and on the resulting pedagogical project to be developed in Courses of Letters with a major in English in Brazil.

The title I have chosen is clearly incomplete. While it refers to the act of teaching, its object and the moment in question, it calls attention to missing words and empty spaces: human agency (who, teaching American Literature?), the location of this agent (teaching American literature, where?) and the target of the pedagogical experience (to whom?). It is these terms that I mean to problematize, since they will interrelate and call into question our theoretical assumptions and methodological choices, the why and how of our praxis. I believe the discussion of the possible modes of articulation of these three variables

and the adequate elaboration of the questions generated by them will endow our teaching with a new political and educational significance.

My reflections in relation to this matter have always been motivated by my positionality as a teacher of American literature in Brazil: as a teacher and cultural agent here, how can I propose, in the *periphery*, a reading of this literature produced in the *center*? What would be the possibility of elaborating, here, a Brazilian history of this literature, re/signifing it and re/inscribing it, in a critical way, in a more complex cultural landscape? What instruments of theoretical appropriation would allow us to reconstitute the field of American Literature Studies among ourselves? How can we articulate it in relation to the study of Brazilian literature, and relate both in a comparative view of historical and cultural studies?

In other words, what questions and problems are projected by our *locus* of enunciation? How can we rethink the institutional and theoretical strategies through which we produce – here and now – discourses about this object?

Although I am aware of the problematic nature of the binary models of original/copy and center/periphery on the basis of which the paradigm of Western domination is built, I do not think we can dismiss them. Rather, they must be used strategically, particularly in our case, as teachers and students of a literature produced in one of the hegemonic countries in the world. I am obviously not taking the notions of center and periphery, however, as geographic locations, but as multisituated functions, revealing a complex network of power relations located between and within so-called centers and peripheries. In fact, it is precisely for this reason that I am concerned with our institutional location. Since the University has a centralizing function in our society, sustaining a symbolic system of authority, it is crucial that we discuss the condition of the possibility of a radically different cultural and pedagogical praxis.

Alberto Moreiras has mentioned that "the marginality and deferment of all colonial societies with respect to what happens in metropolises led Latin American culture, from its beginnings, to be a culture of translation and transculturation".[1] Thus, from the "discovery" on, the Brazilian intellectual system and, within it, the University, was constituted as part of a culture characterized by mediation, which has a bearing on the way we Brazilians relate to foreign cultures and teach/ consume their literary products. This is why I believe our reflection must start by problematizing the cultural and the institutional context in which we are located, if we are in any sense interested in redirecting our work towards a more critical agenda. This will prevent us from remaining in the role of blind disseminators of the system of values related to the American way of life, and will disrupt the attitude of unexamined awe and wonder (the "deslumbramento") which is displayed by so many teachers and students of Anglo-American literature in Brazil.

As we examine the constitution of the dominant cultural discourses in Brazil, it will be easy to perceive why the reception of foreign symbolic goods has been carried out in such acritical terms and how it has shaped the discipline of English and American Studies among us.

It has been recurrently stated that the process of colonization in Brazil, as elsewhere in the Americas, emerged as a narcissistic operation oriented by the ethnocentric perspective of Europe. European ethnocentrism, however, was not just one more ethnocentrism, like any that has recurrently surfaced in cultural encounters between the same and the other. What makes it different is that the expansionist project of Europe was related to the development of capitalism. Eurocentrism – and, nowadays, Nordocentrism – must be seen as a paradigm with the function of legitimating a global political project. Today, in the Postmodern age of globalization of this project, accelerated by means of mass culture, one of the most successful American products of exportation, our role as teachers – particularly as teachers of American

literature in the periphery – acquires a more strategic meaning, a clearer political significance.

Brazilian colonization, as many critics have pointed out, can be characterized as a "mimetic process of education and indoctrination which transposed to Brazil the Christian-Portuguese ethnocentric cultural project".[2] This enterprise was carried out by a two-sided strategy of assimilation and destruction: through the military conquest and the pedagogical process of cultural imposition (which used, as one of its main instruments, the catechetical project of the Jesuits), the Indian was simultaneously deprived of land, language, and culture. This is what Luiz Costa Lima considers a scorched earth policy, since, unlike what happened in Hispanic America, in Brazil local cultures did not survive, not even residually.[3]

The dominating cultural discourse in Brazil, although presenting at times disruptions and fissures, has aimed at maintaining a reference to the metropolitan apparatus, to a system of values controlled and legitimized by the center. Difference, either assimilated or erased, was only authorized through the *topos* of exoticism, which functions for the fixation of cultural stereotypes. Thus exoticism and stereotype, through homogenization and the false concept of harmony or consensus, obliterate the notion of difference, including internal colonialism and the tremendous social contradictions that characterize our country. The myth of Brazilian congeniality – "o brasileiro cordial" –, discussed by Sergio Buarque de Hollanda, is emblematic of the ideological power of this strategy: "the denial of conflict through a forged congeniality in relationships among different races, sexes, cultures, and ideologies".[4] The many others in our society harmoniously blend into a concept of the national ethos with several empowering and disempowering implications, as official culture builds a Brazilian myth which masks and erases conflict. One example is the received notion that Brazilian society is not racist: slavery, in this particular version of the myth of "cordialidade", was abolished in 1888 due to a "generous" and "humanist"

decision by Princess Izabel, Emperor Pedro II 's daughter, the regent during one of her father's trips abroad. The myth of the harmonious social pact established by the Abolition obliterates almost four centuries of black resistence, including that of Palmares and several other Quilombos.

It cannot be denied that Brazil's insertion into the Western map was characterized by dependence. Until the 19th century, there has been no significant production and circulation of symbolic goods. Recurrent remarks in travel logs, for example, refer to the lack of libraries, to the poor reading habits of the local elite, to the very low level of education of men and women. In fact, there was no reading public in Brazil, the press was outlawed, there were no printing shops, schools were scarce. The arrival of the Royal Family in 1808 marks a change in the cultural landscape. In spite of that, however, Brazil continued to be a branch of the real radiating centers – France and England in the 19th century, the U.S.A. in more recent times. Even today the conditions of production and circulation of symbolic goods remain precarious, and many of our structural problems remain. If we think only of those directly related to our work as teachers, let me mention that our libraries hardly deserve that name: the collections are insufficient and outdated, particularly in what refers to journals. Periodicity is not maintained, as acquisition depends on the availability of (unstable) funds. We rely on books and xerox copies made in our trips abroad; the students take for granted that the professors' private libraries will be their most important alternative sources. With solemn disregard for copyright, we build our "xerotecas" ("bibliotecas" constituted exclusively of xeroxed material); at least in that aspect, the age of mechanical reproduction works to our advantage... .

The reading public in Brazil is extremely reduced until today, and education is a privilege for the few. In a country with very high rates of illiteracy (and in which literacy is understood as the capacity to sign one's name and draft a simple message), one wonders what the future of literature is.

Discordant voices might interfere at this point, and remind me of the progress attained in many areas, in spite of the overall situation of the country. It is true that we have some competitive Universities, for example, but we must contextualize our analysis: the radiating centers of knowledge are mostly concentrated in the Southeast, contributing to an unequal distribution of power in the country. Aníbal Quijano has stated that in Latin America (including Brazil) one talks of modernity without having gone through modernization: ours are uneven modernities, characterized by the simultaneity, rather than sequence, of stages of history, by the co-existence of extremes separated by ever more visible gaps.[5]

Brazilian Universities are a part of this trajectory.[6] The first ones were created in 1912, and even these were only the result of the association of professional schools which aimed at reproducing knowledge and conferring the professional degrees in demand. Research was not seen as a constitutive element in the academic project. In fact, there was no academic project as we understand the concept today. Particularly in the case of the courses of Law and Letters, there is the reproduction of the rhetorical model of the intellectual inherited from the literary academias of the 18th and 19th centuries, referred to by Costa Lima as the auditive, rather than theoretical, mode of intellectual "production", a model resulting in a "cultura de ouvir dizer", a culture of mediation and reproduction characterized by purely formal and external erudition. Costa Lima discusses the cult of the external which characterizes Brazilian culture, such as the frequent name-dropping, citations and mechanistic applications of formulas taken from the latest cultural fashions, which we encounter with disturbing frequency: this repetition syndrome, he concludes, makes of ours a "cultura para inglês ver".[7] Roberto Schwarz has named this attitude of reproduction a cultural stiffneck, or "torcicolo cultural", which is the unexamined repetition of imported ideas and formulas improperly received because transposed without adequate problematization.[9]

The courses of Letters, created in the decade of the 30's (ours was created in 1939), are related to this auditive and ornamental model. The projects of some of these courses, as Marisa Lajolo has shown, have made their objectives very clear: "to prepare intellectuals for high cultural activities, either technical or uninterested" – or, in other words, neutral, innocent activities.[9] Letters, then, is defined, in these projects, as a cultural adornment. The implications of this view can be recognized in the treatment given to literature, until today, in many of our curricula of Letters: the pressuposition that literature helps to shape character and personality; the idea that it conveys universalist, absolute values, forming better citizens. In this sense Literary Studies are supposed to create an elite with a superior perception of reality – usually in harmony with hegemonic, dominant values. On the other hand, literature is seen by many teachers as merely instrumental in the improvement of the student's performance in English, or only as an adornment – the "soft" side of Letters as opposed to the "hard" sciences such as Linguistics.

The auditive model mentioned indicates that there has been fertile ground for an acritical reception of Anglo-American literatures in the Universities, on the basis of the notions of canon, center, and model. This ideological reproduction has fulfilled two objectives: from the perspective of dominating countries, the veiculation of their cultural values; here, the thirst for identification with such values. This results in a " 'ufanismo pelo alheio' (a pride for what is not ours), an inverted exoticism, unwilling or incapable of examining the ideological basis of the uncritical reproduction of values", which is, clearly, an undesirable form of mediation.

The area of English and American Studies in Brazil has been, generally speaking, much more conservative than those of the Theory of Literature, Comparative Literature or Brazilian Literature. Some of the reasons for that are ideological, others relate – also – to structural problems specific to the teaching of foreign literatures here. Our courses have traditionally privileged the study of the canon in panoramic

programs organized by period or literary gender, in part due to pressures of time and space in the curriculum. The non-availability, here, of collections of primary sources not assimilated by the mainstream results in the fact that a large part of the student's contact with literatures in English is done through the canon. These pressures, as well as structural and conjunctural limitations already mentioned, result in the presentation of these literatures as a body of great works, in a sacralizing totalization which prevents the recognition of disturbing and emergent voices. However, three factors are contributing to alter the panorama. The changes in the national and international theoretical landscape, the impact of other disciplinary gazes on the literary work, and the increasing articulation of marginal groups in the countries where these literatures are produced as well as in Brazil have been pressuring and expanding the canon, and exposing the ideological reasons that underly this cultural construct, leading to the inclusion of certain voices and to the exclusion of others.

The expansion of the canon, however, is not enough, if we persist in canonic readings of the works and in the assumption that great literature is universal and expresses general truths about human life. If there is anything universal about literature and aesthetic norms, it is the fact that "they are universally established by historical subjects in diverse cultural centers", as Ngugi wa Thiong'o has stated. Therefore, rather than looking for universal constants, we should, to borrow Fredric Jameson's motto, "always historicize", that is, discuss the text as well as the critical and pedagogical methodologies as cultural constructs historically created and situated. In our case, to historicize our gaze means to privilege our social-cultural inscription as Brazilian readers, our here and now, in order to open up new possibilities of interpretation, more significant from our perspective.

As teachers, we can choose to remain on the level of dissemination of received wisdom and established values, local or imported, but we can also challenge them and become agents of cultural change. In order to

do so, however, we must first resign our position of absolute hermeneutic power: we do not hold the key to a final sacred truth of the text. We must, then, problematize our locus of enunciation, our position in the classroom and in the academic institution, our class privileges, and our social function as intellectuals in the periphery. As David Murray has affirmed, "knowledge in its formation and dispersal is intimately related to power, it can no longer be seen as neutral and non-ideological, as part of the solution rather than part of the problem". Thus, the epistemological position determines the object, which cannot be revealed or described in a neutral form. Once I make explicit that my gaze is not innocent, and that my model of analysis structures the object to make it intelligible, I refuse a monotopic hermeneutics and open the possibility for plural interpretations. Through the relativization of literary studies, the text is then seen as a textual space crisscrossed by various cultural codes and contexts. Literature, in this perspective, is considered as an open and decentered field of meanings. No single methodology can exhaust the text: something will always resist, indicating that the text is open to a multiplicity of readings. To read as a logocentric reader, as Sérgio Bellei has stated, is to look for a center, an interpretive constant. To read as a nonlogocentric, postmodern reader is to practice the production of meanings. As we historicize the text and the gaze that looks, and contextualize the text as well as the interpretive position, we recognize the historicity of the act of reading. For a pedagogical project, this is a crucial moment, because it introduces the student as an active co-author in that production of meaning. And this is what constitutes, for me, the only way to place American literature – or any foreign literature – in the field of interest of Brazilian students. How can we make a piece of literature become significant for the student's personal and social understanding? As we teach, we must, as Susana Funck has stated, "acknowledge the reader as a social construction", particularly because "the distance between author and text is not mediated by a common language or a common history". This is why she formulates "three basic pedagogical commandments for increasing the relevance and therefore desirability of the teaching of American literature in Brazil:

1 - focus on ideological discontinuity by eliminating race, class, gender, and genre limitations, that is, by presenting "minor" authors and genres together with canonical literature;

2 - foster awareness of the processes of value formation, that is, an awareness of literary status as a consequence of structures of power enforced by dominant culture; and

3 - acknowledge critical as well as national and personal biases in myself and my students, that is, focus on how we respond to works of literature as Brazilian readers, women readers, black readers, etc, as compared to canonical and therefore supposedly impersonal responses."

She concludes by saying that the goal is to create the conditions for the transformation of the student from an assenting reader into what Judith Fetterley has called the "resisting reader."

To teach literature, then, is to teach the possibility of reading, and to acknowledge that there will always be something left in the text which the reading cannot account for. I can only read from my expectation horizon, but the text resists me. And it is this resistance that indicates the friction between my gaze and the text – the many voices that constitute it. The text is not an object to be reduced and domesticated by a final interpretation or a universal constant: "it is a force in expansion that constantly motivates new readings" in search of meaningful interpretations for each reader. We must, then, teach how to read from here, articulating possible interpretations of the text to the students' cultural experiences, not merely to their expectation horizon, but to their social and cultural inscription in terms of race, gender, class, and nationality.

We return again to the locus of enunciation from which we formulate discourses about the text. This locus must be constructed as an interstitial space, a place in between, to borrow Silviano Santiago's

notion. Rather than remaining in the passive and assenting position of receiving the canon and the canonical readings as a natural system, we must see literature as a cultural product, inquire into the nature and function of discursive practices in their original environment. It is also relevant to think about their function in the environment to which they have been transposed – ours – and discuss our locus of enunciation as a network of places of understanding from which we will construct our own readings. In the global village of the Postmodern Age, in which mass informational technology has taken over, we must recognize the co-existence of conflictive worlds and look for an open, plural reading of cultural experiences. Historical subjects in diverse cultural centers produce meaning as writers and readers; we must then, according to Mignolo, "approach knowledge and understanding from the perspective of a constructivistic epistemology and hermeneutic, [in which] the audience being addressed and the researcher's agenda are as relevant to the construction of the object or subject being studied as the subject or the object being constructed."

To conclude, I would like to add three more pedagogical commandments to those presented by Susana Funck:

1) In order to open a more meaningful cultural experience for the student, place American Literature within the framework of Comparative Literature, articulating the foreign literature to our own and locating both in a complex network of cultural relations.

2) Expand the notion of literary text to that of cultural text, exploiting the relation of literature to films, soap operas, pop music, and so on, recognizing all of them as meaningful forms of cultural production. To proceed by analogy and contrast, from the cultural text known by the student to the one he/she doesn't know, is what Siegbert Prawer has called "placing", which I interpret as a mutual illumination of texts.

3) Associate the discussion of the texts to the cultural debate that interests us today: questions such as the concept of nation, cultural dependence, the relation of literature to mass culture, the process of globalization and internationalization that characterize our age, the system of values disseminated by mass media, the social function of literature in that context, the role of the teacher in the process of teaching, and the status of the humanities in our society.

In this sense we will be able to read American Literature from here, or, rather, read American Literature and our here. In this more complex interlocus, we will be constructing a significance for our own gaze, and in this constructive enterprise the text will grow, and so will we.

Endnotes

[1] Moreiras, Alberto. "Transculturación y pérdida del sentido". *Nuevo Texto Crítico* 6, 1990. Quoted in Richard, Nelly. "The Latin American Problematic of Theoretical-Cultural Transference: Postmodern Appropriations and Counterappropriations". *The South Atlantic Quarterly*, v. 92, n. 3, p. 459, Summer 1993.

[2] Gazolla, Ana Lúcia and Pinto, Julio. "Shakespeare in the Cooking Pot". In: Barker, Simon and di Piazza, Elio, eds., *Shakespeare in the World*. Forthcoming. Several of the questions discussed in this essay are reiterated here. See, also, Silviano Santiago's "O entre-lugar do discurso latino-americano", in *Uma literatura nos trópicos* (São Paulo: Perspectiva, 1978) and "Apesar de dependente, universal", in *Vale quanto pesa* (Rio de Janeiro: Paz e Terra, 1982), and Luiz Costa Lima's "Da existência precária: o sistema intelectual no Brasil", in *Dispersa Demanda* (Rio de Janeiro: Francisco Alves, 1981).

[3] Lima, op. cit.

[4] Gazolla and Pinto, op. cit.

[5] Quijano, Aníbal. "Modernity, Identity, and Utopia in Latin America", *boundary 2*, Durham, v. 20, n. 3, p.140-55, Fall 1993.

[6] For a more detailed discussion of this topic, see Gazolla and Pinto, op. cit.

[7] Lima, op. cit., p.9.

[8] Schwarz, Roberto. "As idéias fora de lugar". In: *Ao Vencedor, as Batatas*. São Paulo: Livraria Duas Cidades, p.22, 1988.

[9] Lajolo, Marisa. "No Jardim das Letras, o Pomo da Discórdia". In: III Encontro Nacional da ANPOLL, 1988, Recife. *Anais* .... Recife: ANPOLL, p. 91-103, 1988.

Renderings: a Poundian Reading

Irene Ferreira de SOUSA - UFMG

*the purpose of poetic translation is the poetry,
not the verbal definitions in dictionaries* [1]

In her book *Reading Pound Reading*, Katheryne Lindberg remarks:
"Ezra Pound radically questioned the discursive boundaries, interpretive
conventions, and historical practices that have been canonized under
the name of 'High Modernism' and 'Pound and Eliot.'" [2] While Lindberg's
emphasis is on a reading of Pound's reading procedure, which she
scrutinizes thoroughly, my interest centers on Pound's theory of
translation as an emblem of the archaeological method.

Pound's interest in the then incipient art of the cinema points to his
ideal of finding a common locus – which for him is juxtaposition – in the
most diverse realms with which he was dealing. Actually this common
locus of unusual juxtapositions, as Michel Foucault asserts, may be
difficult to determine only if one is searching for it in the epistemological
level, or *"scientific consciousness"* to Foucault.

To the contrary, one must learn to lean on the archaeological level (or
Foucault's *"scientific unconsciousness"*), since the diversity of the objects
under consideration is ignored by the archaeologist or even by the

biologist, who employ such a procedure to classify extremely diverse elements. It is noteworthy that Foucault contrasts epistemology, the theory of knowledge, or "the science of method and grounds of knowledge" to archaeology, which is the "scientific study of the remains and monuments of the prehistoric period." The *Oxford English Dictionary* says that the former is the study of the method, and the latter is the scientific study. No mention is made in this general definition of an archaeological method. Still, as Pound rightly asserts, a method indeed exists which we might call ideogrammic, or the method of the "diggers," or archaeology.

I contend that Pound's method is "archaeological," and I believe that a reading of his work must be archaeological as well, for it mingles the poetical activity with seeing below the layers of the text, in an apparently disorganized manner. In fact, Pound is resistant to systematic generalizations; therefore, a Poundian theory of reading, of translation, or of writing is difficult to pinpoint, for the poet's criticism hardly presents a coherent aesthetics on which one could base one's readings of his works.

Pound rigorously, and at times accidentally, challenges the traditional habits (of reading, of writing, of translating) since his notions are often apparently asystematic. In the Introduction to his translation of Guido Cavalcanti's poems Pound remarked: "I have in my translations tried to bring over the qualities of Guido's rhythm, not line by line, but to embody in the whole of my English some trace of that power which implies the man." [3]

In translation Pound searches for the poetic essence in the traces of the text: "[t]ranslating does not, for him, differ in essence from any other poetic job; as the poet begins by seeing, so the translator by reading; but his reading must be a kind of seeing." [4] Seeing, regressing into the original, and creating poetry are correlated tasks to Pound.

Actually, translation to Pound is not merely the rendering of the codes from one language into another, but it presupposes transformation, re-creation, because it requires "transparency in the sense that one sees through TO the original"[5] Still, the clarity at which Pound aims implies creation by the translator, who must be able to gather all the nuances present in the original and transpose them into the second language. In this sense the expression *"traduttore-traditore"* (translator-traitor) seems to fit this poet in his myriad exercises in translation from the Latin, French, Provençal, Greek and Chinese. As a matter of fact, his knowledge of some of those languages has been disputed by some critics. Yet, the point here is not to discuss whether Pound was fully competent in those languages, but to ponder on his theory of translation, a *"theory"* which is disseminated in sentences here and there, throughout his critical writings. In his poetical practice, Pound may enact his theory, as it is clear in Canto 1 of *The Cantos;* there the poet mentions some translators of Homer by name, while he works with displacements of texts through translation, absorbed in a form of metamorphosis which he terms "identity, persisting through change".[6] A writer who cherishes transformation, such as Pound, could only – if he chose to – place himself in the category of the metamorphoser, the transformer, a writer who envisaged translation as an act of love, of re-creation. Pound is then the "traduttore-tessitore," the weaver of fragments, the interpreter and manipulator of threads, which he captures as unconnected pieces to be decoded, and reintegrated in his own art[7] As an example, Pound closes canto 51 with a fragment, a Chinese ideogram, "ch'ing ming," which he elsewhere translates as "to define the correct terms," or merely "right name." The precise translation of this small segment should not actually concern us so much, if we are to heed Ernest Fenollosa's warning, which Pound follows, that "relations are more real and more important than the things which they relate," and if we believe that "the purpose of poetic translation is the poetry, not the verbal definitions in dictionaries."[8]

Translation as a form of Phoenix re-creation involved Pound. The metamorphoses of the text, which is destroyed to be re-created from its ashes, seem to fascinate the poet. Pound's translations are set in a poetics where the multifaceted meeting of a web of discourses is to be resolved in the concealment and discovery of a palimpsest. The modernist poetics demands that the reader find the fragments, the traces in the air, in short, the writings that have been previously woven into the text in order to re-create the text. One example in The Cantos is Baudelaire's expression "Les paradis artificiels" which is woven into the poem, referred to as a palimpsest by Derrida.[9] The point is that, in each environment the expression surfaces, it acquires a diverse meaning, and Pound joyfully plays with the several possibilities of describing the "paradis artificiels" in his Cantos, now asserting its existence, now denying its likelihood. Though Pound chose to enact, rather than to "philosophize", as he put it, about any point, he attempted to discuss two sorts of translation in his Literary Essays, the interpretative one, and the creative one: "In the long run the translator is in all probability impotent to do all of the work for the linguistically lazy reader. He can show where the treasure lies, he can guide the reader in choice of what tongue is to be studied, and he can very materially assist the hurried student who has a smattering of the language and the energy to read the original text alongside the metrical gloze. [sic].[10]

This refers to 'interpretative translation.' The 'other sort.' I mean the cases where the 'translater' [sic] is definitely making a new poem, falls simply in the domain of original writing, or if it does not it must be censured according to equal standards, and praised with some sort of just deduction, assessable only in the particular case."[11]

Suffice it to be said that the "infinite regress" of meanings might have blurred some of Pound's readings, since he sometimes translated, say, a French version of a Greek or a Chinese text, and he then re-created the text through his own knowledge of the target language. Recurrently

the poet's intuition guided his hand and the result, a creative translation, may result in Pound's distancing himself from the text and assuming the pose of a reader/writer of a palimpsest. The Oxford English Dictionary defines the term palimpsest as "writing material (as a parchment or tablet) used one or more times after earlier writing has been erased." In this form of writing a cascade of meanings springs from the rewriting over somebody else's translation of a text, as though veil after veil were removed only to reveal another veil, ad infinitum; the veil is the trace which each past translator left, as his own remnant, his mark, on the translations he produced. Of course such a notion of the traces of texts in literature is not the same thing as influence of an author or style upon another. Most precisely what is involved is the palimpsestic style of writing, which may be regarded as a form of intertextuality, in Julia Kristeva's contention.[12] Another form of re-creation is metamorphosis, a motif which recurs in the poem; "beyond the form" (meta+phorme), the poet-translator is supposed to discover the possibilities of recombining and creating the text again, of enabling the reader to search for the fragments that compose the text.

Ian Bell asserts that the "activity of reinscription" of the interaction of many texts is "the programme of the palimpsest." To Bell the hope of connecting the "'traces' will make the 'fragmentary coherent, even if momentarily'."[13] Stephen Fender contends that in the discovery of the texts which meet to form the network of the text, "the reader constructs his own closure".[14] The archeologist of course produces his closure in the same fashion, and that is the reason why I insist on calling Pound's method "archaeological," in the sense that Michel Foucault sees it, as diggings in the various historical epochs.[15]

Of course Pound wished to discover motives in layers of dead facts, and his montage of "shored fragments" proves this point. The connection of those fragments is effected through the juxtaposition, or the ideogrammic method.

I contend that Pound is a true representative of the modern temper, but that he becomes a weaver, a precursor of the Postmodern era, as his text is fragmentary, highly allusive, non-closural, palimpsestic and so unstable that the poet himself is unable to stop weaving his web. The translator thus turns into the tessitore, the poetry reader into the poet-writer, the theorist into the archaeologist.

Endnotes

[1] Fenollosa, Ernest. The Chinese Written Character as a Medium For Poetry, in *Instigations of Ezra Pound*, ed. Ezra Pound. (New York: Boni and Liveright, 1920), pp. 357-388.

[2] Lindberg, Katheryne V. *Reading Pound Reading: Modernism After Nietzsche* (New York: Oxford University Press, 1987), p. 15.

[3] Pound, Ezra. *Translations* (New York: New Directions, 1964), p.34. Guido Cavalcanti is the Italian poet Pound admired for his poetic talent and for being what Pound terms "a master".

[4] Kenner, Hugh. Introduction to *Ezra Pound: Translations* (New York: New Directions, 1964), p. 10.

[5] Pound, Ezra. *Literary Essays,* (New Directions: New York, 1954), p.209.

[6] Kenner, Hugh. *The Pound Era* (Berkeley and Los Angeles: Univ. of California Press, 1971), p. 290.

[7] The expression *"traduttore-tessitore"* is my own invention, in a reversal of the well-known *traduttore-traditore.*

[8] Fenollosa, Ernest. The Chinese Written Characters as a Medium for Poetry, in *Instigations of Ezra Pound* (New York: New Directions, 1920), p. 377.

[9] Jacques Derrida refers to this example in The Double Session, *Disseminations* trans. Barbara Johnson (Chicago: University of Chicago Press, 1981), pp. 248-252.

[10] "Gloze" is the term employed by Pound in his text; it serves as an example of his notorious "creations".

[11] Pound, Ezra. *Literary Essays,* (New Directions: New York, 1954), p. 200.

[12] What Julia Kristeva calls "intertextuality" is more clearly explained by Bakhtin as "the absorption and transformation of another text." See P. N. Medvedev/M. M. Bakhtin, *The Formal Method in Literary Scholarship: A Critical Introduction to Sociological Poetics*, trans. Albert J. Wehrle (Baltimore and London: Johns Hopkins Univ. Press, 1978), p. 161. For Kristeva see Word, Dialogue, and Novel, in *Desire in Language: A Semiotic Approach to Literature and Art*, ed. Leon S. Roudiez, trans. Thomas Gora, Alice Jardine, Leon S. Roudiez (New York: Columbia Univ. Press, 1980), pp. 64-91. Quotation on p. 66.

[13] Bell, Ian F. A. *Critic as Scientist: The Modernist Poetics of Ezra Pound* (London and New York: Methuen, 1981), p. 242. The enclosed quotation, Bell explains, comes from Fred Moramarco, Concluding an Epic: The Drafts and Fragments of the Cantos, *American Literature*, XLIX, 3 (November 1977), p. 323.

[14] Fender, Stephen. *The American Long Poem* (1977), p. 10, as quoted by Bell, p. 323.

[15] See Michel Foucault, *The Archeology of Knowledge*, trans. A. M. Sheridan Smith, (New York: Pantheon, 1972).

Intersemiotic Translation:
The Peircean Basis

Julio JEHA - UFMG

See the movie and read the book. This apparently innocuous sentence has got many of us into fierce discussions about how the written text compares with its filmic version. More often than not, the argument tips toward the literary piece, considered a helpless victim in the hands of screenplay writers, directors, and producers.

This situation arises from the age-old tradition of evaluating a translation according to its faithfulness to the original, which stands as a superior model to be duplicated. The old saying *traduttore traditore*, translator traitor still holds true to many more than would acknowledge it. Some translation theorists have, however, updated the saying, now recast as "translators have to be traitors," which applies particularly to intersemiotic translation. Those who insist on comparing the book to the movie fail to perceive that book and film belong to different semiotic systems, and, as such, demand an evaluation based on criteria specific to their media.

The appropriate parameter to assess an intersemiotic translation would be the carrying through of meaning from the source system to the new representation. To say that one liked the movie but (he thought) the book was better amounts to little more than stating one's preference for

apples to apple pie. They are not supposed to be compared, for one is what the other has become. It is better to compare how the meaning of a text was rendered into two or more movies. Or, if you wish, to judge what recipe makes the best pie. The logical way of doing this, I propose, is examining the interpretant of the different signs.

This paper provides a theoretical framework, based on Peirce, to analyze differences (to the detriment of specularity) in intersemiotic translation. For this purpose it discusses the importance of the interpretant in intersemiotic translation, mainly from literature to cinema, beginning with Peirce's definition of the interpretant and proceeding to compare it with the notion of objective worlds.

Meaning, Modeling Systems, and Interpretants

"A sign," says Peirce (*CP* 1.339), "stands *for* something *to* the idea it produces, or modifies. (...) That for which it stands is called its *object*; that which it conveys, its *meaning*; and the idea it gives rise, its *interpretant*." The sign signifies in three ways: it is a sign to a mind that experiences and interprets it; it is a sign for some object that it replaces in that mind; it is a sign according to some point of view or quality that relates it to that object. The relational nature of the Peircean sign makes it impossible for any representation to be absolute: it merely takes, in a given context, a validity that may not subsist in another context: the interpretant the meaning of "good" to Athens was not the same interpretant of "good" to Sparta.

As Peirce conceptualized meaning, he unwittingly defined the phrase, and established the foundations for, "intersemiotic translation." For him, meaning is the "translation of a sign into another system of signs" (*CP* 4.127), which renders every sign translatable into an endless series of other signs (*CP* 2.293 note). Since the meaning of the sign "is the interpretant as it is revealed in the right understanding of the Sign

itself" (*CP* 4.536), the interpretant should take pride of place in any theoretical discussion of intersemiotic translation.

Peirce's notion of meaning can also explain how we experience the environment. If we consider that experience is far from passive, that it is an act of reconstruction, we will notice the interpretant at work. Every sentient being apprehends the environment according to two main reconstructions or in semiotic parlance modeling systems. The first is dictated by the species-specific DNA – biological model. The individual organism's interests, which determine its cognitive map, constitute the second. Specifically human, a third modeling system arises with the introduction of language – the world of culture. These modeling systems, or more simply, models, are the interpretants human and nonhuman beings develop to interact with the world, transforming it and being transformed by it. For humans, this interaction involves more than is present in the physical surroundings: emotions, illusions, abstractions.

Suppose that two individuals from different cultures want to communicate about a certain object. The interpretants they develop about that object are not wholly commensurate; therefore, communication will be deficient. Some communication always occurs, though, since their objective worlds superimpose at certain common points that make possible the exchange of messages. The common points we call code; the private ones, ideas.

Emitter and receiver must share the code for communication to occur. Peirce (1977: 196-197) calls this common ground the "communicational interpretant": "It consists of all that is, and must be, well understood between utterer and interpreter at the outset, in order that the sign in question should fulfill its function."

The communicational interpretant is more than the linguistic code: it is all that universe of experience to which reference is made. Thus, real and

reality, good and evil, true and false are interpretants developed by a culture and by an individual, and are historically dated. The interpretant substitutes for the pre-semiotic notion of natural given: reality, truth, and most of the concepts underlying our civilization are collective interpretants constructed by human beings in the world of culture.

Communicational interpretants, or cultural models, make it possible for members of diverse societies, in different times, to understand each other. Because human experience coincides in some points, what I have been calling the code ideas, or individual interpretants, can be transmitted. Consequently, Shakespeare's *King Lear* can be made into English, French, Russian, and even Japanese films; Lilian Hellman's *Little Foxes* can be transposed from the theater to the screen. Similarly, the communicational interpretant enables Durrell's 600-page *Alexandria Quartet* to be condensed into a 115-minute film. This interpretant, and only this, allows for the existence of intersemiotic translation at the cultural level.

Intersemiotic Translation and the Fallacy of Referentiality

What is transposed from one semiotic system to another, or in the present case, from literature to cinema, is the meaning of a sign. The sign, as it stands for an object and as it conveys a meaning, will produce an idea – the interpretant. Every process of translation as an act of semiosis follows that pattern: an individual experiences a sign (a text) that stands for, or refers to, a phenomenon in the world and that creates some sense (the interpretant) in his mind. That sense is a sign equivalent to that first sign and is further developed into another sign, perhaps another text or maybe a film.

Because the object of a representation can be nothing but a representation, its meaning can be nothing but another representation (Peirce, *CP* 1.339). Filmic versions of books, in Peircean semiotics, make

part of an endless series of representations, of which the written text is the object. As the text itself is a representation of another representation, the first object proves to be infinitely removed from the sign at any point in the semiosis chain. Intersemiotic translation illustrates perfectly the action of signs: cultural artifacts, or symbolic signs, grow away from the initial object that started the semiosic process.

Such infinite regress on the three points of the sign triangle does not imply that Peirce eliminates the referent from his semiotic. Quite the contrary. He would hardly authorize some theories that use the idea of meaning as intersemiotic translation for support. Greimas & Courtès (1979: 260), for example, explain away the referent by claiming that what happens between language and semioticized world is not the mediation of the extra-linguistic world but an intersemiotic translation: "The problem of the referent is then reduced to the question of the correlation between two semiotic systems (for example, natural languages and natural semiotics, pictorial semiotics and natural semiotics). This is a problem of inter-semioticity." Such a removal of the referent from the discussion of meaning characterizes the theories that consider "only one semiotic dimension, reference, sense, or use" (Nöth 1990: 96). Saussure and Hjelmslev inaugurated this approach that was later taken up again by Greimas and Eco.

Eco, however, rightly attacks what he calls the fallacy of referentiality. Under the theories that consider only one semiotic dimension, it becomes extremely difficult if not downright impossible to explain that referents of fictional objects exist and how it is possible to refer to them. Peircean theory, on the contrary, explains meaning by considering both sense (the interpretant) and reference (the object). Moreover, because Peirce included the concept of experience in his speculations, he could theorize that the sign relates to an object regardless whether it is a purely mental creation or something in the physical world (Jeha 1993: 349), and thus he could avoid the fallacy of referentiality.

The Interpretant as Interface

Peircean theory postulates generation of meaning whenever inter-semiotic translation occurs. If one considers meaning production as a process grounded on sense and reference, then the idea of translation as the rendering of a text in a different language has to give way to a notion that includes the whole modeling of experience. Modeling presupposes laws that correlate the experiencing individual to the environment, and since where there is correlation or law, there is an interpretant, models can be seen as interpretants. Therefore, the interpretant operates as an interface that allows meaning to permeate between sign systems.

The organism occupies the center of a web of relations through which it knows itself and the environment. The fabric of this semiotic web is intrinsically open to change, for each experience implies another thread, another relation, another design. This possibility of continual alterations prevents us from drawing a permanent and rigid division between sign systems. Not only do signs grow but they permeate from one system to another, in a continuous generation of new meaning.

This fundamental fact invalidates any comparison between a sign and its development. To evaluate a translation according to its fidelity to the source is a Byzantine question better left alone. Every cultural artifact is the result of a transformation of a previous artifact, a sign that preceded it but also succeeded another. In the endless chain of ever-growing signs, intersemiotic translation equals meaning production.

Bibliography

GREIMAS, Algirdas Julien & COURTÈS, Joseph. *Sémiotique: Dictionnaire Raisonné de la Théorie du Langage*. Paris: Hachette, 1979.

JEHA, Julio. Fearing the nonexistent. *Semiótica* v. 94, n. 3/4, p. 349-359, 1993.

NÖTH, Winfried. *Handbook of Semiotics*. Bloomington: Indiana University Press, 1990.

PEIRCE, Charles S. *Collected Papers*. Charles Hartshorne, Paul Weiss, and Arthur R. Burks, eds. Cambridge, MA: The Belknap Press of Harvard University Press, 1931-1938. Referred to as CP followed by volume number, period, and paragraph number.

____. *Semiotics and Significs. The Correspondence between Charles S. Peirce and Victoria Lady Welby*. Charles Hardwick (ed.). Bloomington: Indiana University Press 1977.

Foregrounding the Background: Music in Hitchcock's Films

Margaret Anne O'CONNOR - University of North Carolina at Chapel Hill

Over a fifty year career as a movie director, music was a distinctive part of the personal signature Alfred Hitchcock scrawled across his work. As several interviews throughout his career show, the role of music was of extreme importance to him as he first invented – then refined, and elaborated on – the Hitchcock thriller.

Hitchcock began his career as a graphic artist designing title cards for dialogue in silent films at the British International studios in London. Born in London's East End in 1899, Hitchcock was a Cockney and an Irish Catholic. Never a diligent student, at the age of 15 – soon after the death of his father – he dropped out of the Jesuit secondary school he attended. Later he credited the music halls and early silent cinemas for his most useful education in life. He took classes at art school and developed the graphic skills that offered him not only entrée to the film industry, but also the artisan's attention to visual detail that became a hallmark of his work. Before beginning a film Hitchcock would sketch out a set of elaborate storyboards for each shot sequence, indicating camera set-ups, set designs, and costuming. His preparation was so thorough that, late in life he told interviewers that actually shooting the film was anticlimactic to him; the real creative work came before.

Given Hitchcock's obsessive concern for visual dimensions of his films, his interest and involvement in the soundtracks of these films is easy to overlook. In an interview of 1933, however, Hitchcock comments on the role of music in film at a crucial moment in his own career and in the history of the film industry. Having just completed *Waltzes from Vienna*, essentially a filming of a successful London play on the life of Johann Strauss, Hitchcock hawks his wares to his interviewer as would any filmmaker or author on latenight TV today. Later Hitchcock would frankly admit, "To all appearances, I seemed to have gone into a creative decline in 1933 when I made *Waltzes from Vienna*, [a film] which was very bad" (Truffaut 1967). It was his one adventure into the genre of the musical. But his comments in this interview go beyond hyping a bad film – an assignment he had gladly accepted when no other more likely projects were offered to him. But it is this little credited interview that sets forth the values Hitchcock will apply to his musical soundtracks for the entirety of his career.

At the beginning of this interview, Hitchcock notes that silents were never really silent since at a minimum a piano, organ, or sometimes even an orchestra provided atmosphere in so-called silent theaters. Accompanists usually played extemporaneously, but high budget films might provide scores – excerpts from classical pieces or original compositions – to enhance the visual effects. Organs also provided sound effects, but the well equipped movie house might have a variety of patented special effects machines called variously the "Noiseograph, Dramagraph, Kinematophone, and Soundograph." One source on mid-twenties cinema lists keyboard-produced effects such as "galloping horses, railroad whistles, bells," and a rooster crowing; water pouring, falling, splashing; glasses toasting or glasses breaking, marching feet and even "blowing noses" (Fielding in Cameron 1980:4).

The non-silent "silent" provided Alfred Hitchcock's training ground as a director. Looking back in 1933 at the first years of talkies, Hitchcock

notes all that was lost from films in the industry's hasty attempt to adapt to the sound film:

> "The arrival of talkies, as you know, temporarily killed action in pictures," he began, "but it did just as much damage to music. Producers and directors were obsessed by words. They forgot that one of the greatest emotional factors in the silent cinema was the musical accompaniment. They have gradually realized that action should still come first – that, talkies or not, they are still making motion pictures. But music as an artistic asset of the film is still sadly neglected." (Hitchcock quoted in Watts 1933:80).

Here Hitchcock alludes to encasement of cameras – and cameramen – in stationary, soundproof booths to muffle their sound on the set and also to the fixed placement of microphones that limited the movements of actors. Microphones often camouflaged by props within the frame precluded the use of "sizzling arc-lamps of the pre-Talkie days" that were "far too noisy with their ceaseless clatter and hissing," as one contemporary commentator notes (Scotland 1930:82). In addition, early sound could not be "mixed;" in one common early method, a single microphone on the set recorded all voices, effects, and music onto a single phonograph disc 13-16" wide, 2" thick, made of metallic soap called "wax." Reels of film were 11 minutes long, and so were the sound discs; projectionists changed reels and discs at the same time. At the editing stage of the filmmaking process, cuts could be made in the visuals to conform to the soundtrack, but not vice versa (Cameron 1980:10). In the early talkies, dialogue and music were in competition with one another; screen lovers often shouted their pledges of undying love over the twenty-piece orchestra playing out of frame (Truffaut 1983:75). To the negative, sound film's first effects were to immobilize the movie set – cameras, lights, microphones, and actors – and thus reduce the director's options for creating interest and dramatic effect on the screen. The great advantage of sound, however, was also obvious to Hitchcock:

> I was greatly interested in music and films in the silent days and I have always believed that the coming of sound opened up a

great new opportunity. The accompanying music came at last entirely under the control of the people who made the picture. This was surely an advance on having a separate score played by cinema orchestras. (Quoted in Watts 1933:80).

As a director of nine silent films, Hitchcock was well aware of gains and losses with the coming of sound. By the mid thirties, Hitchcock and other directors were able to regain control of the movie set. The American industry had the greatest success developing sound equipment and the first sound film premiered October 6, 1927, with the Vitaphone sound apparatus described above and produced by Warner Brothers. *The Jazz Singer* mixed title cards with spoken dialogue. When sound came to England in 1928, Hitchcock was the director offered the chance to release Britain's first talkie. Using American sound equipment – RCA Phonophone which is similar to the Vitaphone – producers wanted Hitchcock to rework the film he had just finished shooting – *Blackmail* – to turn it into a partially sound film. In addition to including a symphonic score, a few scenes could be reshot with spoken dialogue and music generated on-camera (such as a character singing and playing the piano). According to Hitchcock, he insisted on more adaptations so that the film could be truly a sound film throughout (Truffaut 1983:64). Finally he got his way and two versions were released, one with and one without a soundtrack. The silent version was necessary because over 80% of Britain's theaters were not equipped for sound; by 1928 the percentages were reversed in America (Truffaut 1983:64). An additional problem posed by sound on this film was the heavy Polish accent of Hitchcock's female lead and his boast to Truffaut makes us wonder if he deserves credit for inventing the "lipsynch" technique used in dubbing films today. Anny Ondra who was playing an ingenue from Chelsea could barely speak English. With obvious pride at his remembered ingenuity, Hitchcock remembers: "We couldn't dub in the voices then as we do today. So I got around the difficulty by calling on an English actress, Joan Barry, who did the dialogue standing outside the frame, with her own microphone, while Miss Ondra pantomimed the words" (p.64).

Blackmail was an instant hit, both in the few sound-equipped theaters and on the silent film circuit. In one scene, music presents an ironic contrast to appearances; a vagrant who is blackmailing the young heroine forces her to give him a meal. As he eats, he whistles, "The best things in life are free," much to the chagrin of the heroine. But the phrase "hit movie" of 1929 is bitterly oxymoronic. The world-wide economic disaster of 1929 had its effect on the film industry, slowing down the conversion of theaters, limiting the availability of sound recording equipment, and even retarding implementation of improvements in various systems.

It would be almost a decade before technology advanced enough so that the three features of a soundtrack – dialogue, sound effects, and music – could be used to enhance the cinematic images, not overwhelm them. Personally the first few years of the sound era constituted what Hitchcock himself called "the lowest ebb" of his career (Truffaut 1983:77). His fortunes changed with the first of his five important musical collaborations over the next forty years. Louis Levy made five suspense films with Hitchcock –from *The 39 Steps* (1935) through *The Lady Vanishes* (1938). The thematic use of sound is particularly striking in the first of these films. The main character whistles a simple music hall tune throughout the film, unaware of where he first heard it. The last scene brings characters back to the music hall where an orchestra is blaring the now-familiar strain at the climactic moment of the film.

In *The Silent Scream: Alfred Hitchcock's Sound Track*, Elisabeth Weis writes of the soundtracks of all Hitchcock's major films and notes that his early preference was for using source sound, not off-screem music to build audience reaction because the director had more control (Weis 1982:30). Hitchcock's 1933 interview shows the important role he saw for the off-screen musical score, in Weis' view, but also shows the "personal ambivalence" (p.90) the director felt in these years about any obtrusive manipulation of the realistic situation, either visual or aural.

Writing of Hitchcock's first, silent-era thriller, *The Lodger* (1926), William Rothmann notes that the philosophical underpinnings of this new genre and the visual effects that communicate this world view to an audience were already fully developed:

> Hitchcock did not gradually "find himself" ... Rather, at the outset of his career, he announced his central concerns and declared a position ... to which he remained faithful for over fifty-five years. *The Lodger* is not an apprentice work ... Thematically and stylistically, it is fully characteristic of his filmic writing. By "writing" I mean not what we ordinarily think of as a script but a a film's construction as a succession of views, what is technically called its "continuity" ... (1982:7).

Hitchcock's undervalued interview of 1933 with Stephen Watts suggests that his concepts of the role of music, too, were fully in place with his first sound films.

References Consulted

Alfred Hitchcock Presents: Music to be Murdered By. Music arranged and conducted by Jeff Alexander. DRG Records, SL 5183, 1980.

BROWN, Royal S. "Herrmann, Hitchcock, and the Music of the Irrational." *Cinema Journal*, 21, No. 2, p.14-49, Spring 1982.

BROWNLOW, Kevin. *The Parade's Gone By*. New York: Knopf, 1968.

BRUCE, Graham. *Bernard Herrmann: Film Music and Narrative*. Ann Arbor: UMI Research Press, 1985.

CAMERON, Evan William, ed. *Sound and the Cinema: The Coming of Sound to American Film*. Pleasantville, NY: Redgrave Pbl. Co., 1980.

De Profundus [Pseudo.]. "What Chance has the Church Organist to Make Good in the Moving Picture Theater?" *Musician*, November, 1924.

KATZ, Ephraim. *The Film Encyclopedia*. New York: Perigee, 1979.

ROTHMANN, William. *The Murderous Gaze*. Cambridge: Harvard University Press, 1982.

SCOTLAND, John [Pseudo.]. *The Talkies*. With a Foreword by Cecil M. Hepworth. London: Crosby Lockwood and Son, 1930.

SMITH, Steven C. *A Heart at Fire's Center: The Life and Music of Bernard Herrmann*. Berkeley: UC Press, 1991.

SPOTO, Donald. *The Dark Side of Genius: The Life of Alfred Hitchcock*. Boston: Little, Brown, 1983.

TEACHOUT, Terry. The Single Experience: Bernard Herrmann and the Rise and Fall of the Symphonic Film Score. *Shenandoah: The Washington and Lee University Review*, 42, No. 3, p.46-60, Fall 1992.

TRUFFAUT, Francois. *Hitchcock* [1967]. Revised Edition. New York: Simon and Schuster, 1983.

WALETZKY, Joshua, dir. *Music for the Movies: Bernard Herrmann*. Alternate Current/ Les Films d'Ici/ La Sept/ Channel Four Presentation (60 minutes), 1992.

WATTS, Stephen. "Alfred Hitchcock on Music in Films: An Interview." *Cinema Quarterly* (Edinburgh), 2, No. 2, p.80-83, 1933.

WEIS, Elisabeth. *The Silent Scream: Alfred Hitchcock's Sound Track*. Rutherford, NJ: Fairleigh Dickinson University Press, 1982.

WEIS, Elisabeth and John Belton, eds. *Film Sound: Theory and Practice*. New York: Columbia University Press, 1985.

WESCOTT, Steven D. comp. *Bibliography of Music for Film and TV*. Detroit: Studies in Music, 1985.

The Films of Alfred Hitchcock (1899-1980)

1926 *The Pleasure Garden, The Mountain Eagle, The Lodger* (his first thriller)

1927 *Downhill, Easy virtue, The Ring*

1928 *The Farmer's Wife, Champagne*

1929 *The Manxman, Blackmail* (Britain's first talking picture)

1930 *Juno and the Paycock, Murder!*

1931 *The Skin Game*

1932 *Rich and Strange, Number Seventeen*

1933 *Waltzes from Vienna* (his only musical)

1934 *The Man Who Knew Too Much* (first version)

1935 *The 39 Steps*

1936 *Sabotage, Secret Agent*

1937 *Young and Innocent*

1938 *The Lady Vanishes*

1939 *Jamaica Inn* (moves permanently to the United States)

1940 *Rebecca* (wins Best Picture Oscar)

   Foreign Correspondent

1941 *Mr. and Mrs. Smith* (his only American comedy)

   Suspicion (Joan Fontaine wins Best Actress Oscar)

1942 *Saboteur*

1943 *Shadow of a Doubt*

1944 *Lifeboat*

1945 *Spellbound*

1946 *Notorious*

1947 *The Paradise Case*

1948 *Rope* (his first film in color)

1949 *Under Capricorn*

1950 *Stage Fright*

1951 *Strangers on a Train*

1953 *I Confess*

1954 *Dial M for Murder* (original in 3-D)
   Rear Window

1955 *The Trouble With Harry*
   To Catch a Thief; begins 10-year television series, *Alfred Hitchcock Presents*

1956 *The Man Who Knew Too Much* (second version)

1957 *The Wrong Man*

1958 *Vertigo*

1959 *North by Northwest*

1960 *Psycho*

1963 *The Birds*

1964 *Marnie*

1966 *Torn Curtain*

1969 *Topaz*

1972 *Frenzy*

1976 *Family Plot*

Filmed Versions of Shakespeare

Thaïs Flores N. DINIZ - UFMG

The purpose of this lecture is to show the results of the analysis of four film adaptations/translations of Shakespeare's *King Lear*, produced in the last two decades and directed by filmmakers belonging to different nationalities. These are: Grigori Kozintsev's *Korol Lear*, (Russia, 1969/70); Peter Brook's *King Lear*, (Great Britain, 1970/71); Akira Kurosawa's *Ran*, (Japan, 1985) and Jean-Luc Godard's *King Lear*, (France, 1987). Such films can be considered as iconic signs of each other – because they are related so as to suggest similarities – and also as intersemiotic translations – because they represent works translated into a semiotic system – film – different from the system of the play. The analysis confirmed the hypothesis that the cultural element proved responsible for the possibilities open to the artistic creation in the intersemiotic translation. Departing from one sequence in each film, some relevant aspects that emerged while the films were studied will be presented.

Kozintsev's Lear

The first scene in Kozintsev's film is a totally new creation; there is nothing similar in Shakespeare's play: a host of ragged, starving and ailing people, walking amidst stones, towards the gate of the castle, where Lear, in order to "express [his] darker purpose", is surrounded by his vassals. It represents a vivid example of an intersemiotic

translation. In this sequence, a verbal image of the Renaissance text is translated into a visual one. The word stone appears quoted a few times in the text. However some qualities associated with this element, as its hardness and sterility, pervade the text. Kozintsev has appropriated them and transformed them into one of the most impressive images of his film. Rocks, gravel, pebbles – thus some different varieties of stone – cover the ground, symbolizing the sterility of Lear's kingdom, and of its laws as well as his daughters's harshness. The peasants are as dumb as stones and their presence is felt only through their steps on the stony land, where Lear undertakes his progress towards self-knowledge. His world is, from the very beginnning, a barren one, made up of loose stones. This is the place where the mad king, his faithful and blind jester, and his godson, disguised, met a group of walking people, whom Lear is going to join later. The meanings created by these images concentrate at the end of the film when Lear's dilacerating and anguished cry is heard: "Howl, howl, howl! O! you are men of stones"! (IV, iii, 258) Lear is standing by a stone wall when this cry of grief is heard. The verbal language of the dramatic text reappears in the speech in the scenario and in images, created by Kozintsev's scenery.

Shakespeare has been criticized for what is considered his disdain for social problems, and his concentration on questions related to the individual. However, in the text, there are many vestiges of Lear's interest in social issues. During the tempest scenes, the king begins to identify with the poor and homeless, and becomes aware of how little he has worried about them. Thus the text indicates the king's late discovery that richness must be distributed among the indigent, whose sufferings he had neglected.

In his turn, the Russian filmmaker strongly emphasizes this aspect, when he begins his film with a crowd of hungry beggars. Because Lear comes to total distress, he begins to understand the situation of the poor and to identify with the people. In this sense, because the film can

create a dialectic relation between the actor and the audience, who are motivated to draw critical conclusions, it seems Brechtian. The spectator is able to perceive, through intellectual participation, that it would be possible to create a more just society, which Lear, however, has not tried to do. Through this and many other resources, the film induces a critical reflexion about social problems. The Russian director translates some Renaissance concerns into those of Soviet Russia. If in the time of Shakespeare, Lear's tragedy includes the loss of all his land and his daughters's abandonment, in the transposition to modern Russia, the king's tragedy includes also the loss of his social class.

Kozintsev's decision to emphasize the social problem may be attributed to the historical and cultural aspect of the intersemiotic translation. He translated from a Renaissance culture where man was the measure of all things into another, that of the Soviet Russia, where the people represent the utmost preoccupation. Because the director was born in post-revolutionary Russia, and lived under the Soviet regime, he produced a film that subliminally denounces people's suffering, caused by authoritarianism and greed for power.

Peter Brook's Film

It is said that the tempest scene in *King Lear* is one of the most difficult to present on stage either because it also symbolizes the torments in Lear's mind or because it becomes somewhat ridiculous when presented realistically. In Brook's film this scene is exemplary as an instance of intersemiotic translation. It results from the translation of the 1962 "Royal Shakespeare Company" staging of King Lear, produced in Stratford, into the cinema. Both are stylized productions but create images quite different from each other. In the theatrical production, Brook used a bare stage, almost without scenery and with only a rough wooden throne and a bench or table easily removable. Upstage two giant white screens form an abstract backdrop. "As the storm sounds grew

louder, three rust-colored iron thunder sheets descended from the flies above, trembling as they made the thunder. Lit by a harsh white light, Lear spoke as the others onstage mimed the storm's effects, his speeches and their replies punctuated by the crash of thunder and the wailing of the wind" (Mullin, 190). This stylization is translated on to the screen through cinematographic resources such as jump cuts, dissolves, visual discontinuity, fades to black and superposed images.

We know that Peter Brook, enormously influenced by the other arts, was concerned with the object being presented from many perspectives, and analysed in each of its fragments. Following the trends of the experimental theatre of his time, he tried to call the spectator's attention not to the object but to the reference. His intention was to represent the tempest in Lear's mind as well as in the spectator's imagination. The psychological space created for Lear would determine the world we could see on screen. Like Lear, the spectator also becomes perplexed with the close-up replacing the long or medium shot, with the fragmentation through framing, with the discontinuous editing and with all the non-conventional strategies and codes used by Brook. This contemporary way of representing the tempest seems to reflect the negative existential world view, which is the product of people's belief in a disintegration of the traditional order.

A sense of meaningless life and the loss of traditional ideals predominate in the XXth century. These feelings become incorporated in cultural and artistic production, including the theatre, which assumes a defiant position in this century. Questions resulting from these feelings, such as the quest for self-knowledge and the belief in values that proved unstable could already be found in Shakespeare's text. However, Brook took them to extremes, making use of daring resources to express them. One of them is the convention for dialogue of the two-shot in profile that Brook uses in a very innovative fashion: a shot of Lear looking frame right, followed by a shot of him looking frame left. The cut in this

manner, not between two actors but between opposing views of Lear, conveys the idea that he is talking to himself. This visual metaphor expresses Lear's perplexed quest for identity. Once more the cultural and historical aspect exerts its force. Pervaded by disillusionment with the enfeeblement of religious faith and by hopelessness in a social progress, and permeated by recurrent acts of barbarism, the disordered world of the sixties collapsed before the bewildered eyes of man, who had to face a world deprived of logical and moral values. In order to face it Brook began to express Lear's anxiety through chaotic images, disobeying conventions and affronting the audience.

The purpose of the use of these cinematic resources was to shock the audience, so that they are disturbed by a kind of interior disruption in their repressed unconsciousness. The intersemiotic translation presented to them is effected by a messenger of hopelessness, of disbelief in the restoration of either order or of human values, which used to underlie all tragedies.

Ran, the Japanese King Lear

Akira Kurosawa accomplishes his intersemiotic translation in a different manner. He re-writes the text and ascribes speeches to characters that remind us of Lear's play. The warlord, Hidetora Hichimondi, is clearly a transposition of the Renaissance monarch; Kyoami, similarly, replaces the Fool. But some other characters do not correspond exactly to the characters of the play. Lady Kaede, for example, incorporates many characters, for she, alone, assimilates Goneril's and Regan's evil. Her behaviour is so despicable that none of Lear's sons-in-law could surpass her. Moreover, there is no sub-plot.

Kurosawa's translation effects many changes which are necessary for making it accessible to a Japanese audience. The daughters were transformed into sons, Jiro, Taro and Saburo, because it would be

unacceptable in Japan to have women inheriting property. Moreover he changes Lear into a Samurai lord whose lands had been conquered through war and domination over his neighbours. Jiro's wife, Lady Kaede, is the protagonist and her main intent is to revenge her family, who had fallen victims of Hidetora's imperialist conquest.

The Japanese director tries to let his film be shaped by Japanese art, culture and tradition, even when he deals with a Western text, such as King Lear. He makes use of techniques, elements and themes of the Noh Japanese theatre. His film can be defined as a "jidai-jeki", a kind of historical film which turns to the time of the Samurai. In terms of cultural translation, this could perhaps be considered the most representative change operated in the intersemiotic translation which thus also emphasizes the fact that cultural elements were responsible for several changes effected in the translation.

The scene chosen to represent the film begins with a dialogue between Kaede and her husband, Taro, in which she incites him to take power, defying him to act as a sovereign. Next, Kyoami, playing a role similar to the Fool's, mocks the man controlled by a woman. By dancing and singing, Kyoami imitates the banner, a symbol of power, and mocks Taro, who retains it. It is clear that Kaede, behind the scenes, seizes control of everything.

This scene illustrates the aspect chosen to be studied by the Japanese filmmaker: the transmission of power, a central concern in the Renaissance play. This theme carries out implications such as hereditary privilege, and the questions of authority and subjection of women – all of them dealt with by Kurosawa.

Kurosawa's film, like the previous ones, could also be approached from an order/disorder point of view. Both contexts, those of the Renaissance and of Japan, – like most societies – are similar in the sense that they are subject to a patriarchal order. In a society like this, woman has two

choices: either she totally submits to man, performing the role of a sign, adapting to the image created for her, or usurps power and rebels against the order imposed on her.

In some aspects, Shakespeare's characters seem to follow the trail of subversion. This path is illustrated by Goneril's and Regan's rebellious attitude, and by Cordelia's refusal to yield to her father's whims. However, at the bottom, the play can be seen as very traditional because of the re-establishment of the patriarchal order: Cordelia, supposedly rebellious, maintains her obedience, although shifting it from father to husband. Moreover, poetic justice is achieved through Goneril's, Regan's and Edmond's deaths, seen as punishment for their rebellion.

Kurosawa's film presents examples of women's two extreme attitudes. Sue, the second son's wife, follows the path of submission. She preaches forgiveness and unconditional love, according to the teaching of Buddhism. In contrast, Lady Kaede follows the second path: she is greedy for power and therefore seduces her brother-in-law, taking possession of the castle. In contrast with Sue, the prototype of submission, and with Cordelia, who embodies family order, Lady Kaede questions the whole system. On making her his protagonist, Kurosawa breaks up the traditional patriarchal pattern, and uses the woman figure, traditionally submissive, as an instrument of subversion.

The films presented till now show some preoccupation with a kind of order, be it existential, social or familiar. For this reason, it can be said that in a way they stress the tragic aspect of life, which is absent from the next film.

King Lear, by Jean-Luc Godard

Godard's film can be considered as a totally different translation. The relationship with the play is shown in few ways. The film has the

Shakespeare title and grants the playwright a fictitious masculine heir. Only part of the dialogue and of the main plot, involving a "mafioso" named D. Learo, derive from the text. Godard fragments and modernizes Lear so that what is left is only a vestige of the play.

Lear's lines are issued in contexts totally different from Shakespeare's play, which gives them new meanings. Moreover, the filmmaker's intention is not to "naturalize" his highly intellectualized text, and not to provide the possibility of a complete understanding. As he himself explains, through subtitles, the film is only "an approach", "a study", "a clearing". There is nothing definite in it, it is suggested. It consists of a conglomerate of images, texts, voices, allusions, quotations and puns. Godard translates the order, momentarily broken in the Renaissance text into the order/disorder of the contemporary world, represented by the film, where plot, sequence, order, and understanding are lacking.

Because he is not concerned with the restoration of any kind of order, Godard's film does not convey the tragic vision of life found in Brook's, Kozintsev's and Kurosawa's. Therefore it exemplifies a translation which does not preserve the genre of the tragic dramatic text which inspired the cinematic creation. Besides banalizing Lear's story, it ignores important aspects and emphasizes minor ones, transforming the whole work into an ironic parody of the tragic text, or an anti-tragedy. The film thus represents a complete transformation, illustrating a translation/negation of genre. It translates Shakespeare's tragedy, with its sublime vision of man, into a trivial story taking place in a banal world. Instead of focalizing man's major interior conflicts, it has as its main subject the paltry controversies of our contemporaries, which can include a disagreement between a film director and a producer, and also some Hollywood gossip. Modern culture is then seen as limited and trivial, without any similarity to the greatness conveyed by the tragic vision. Concerning both subject and form, the play is treated in an unconventional manner.

The Renaissance play, belonging to the genre tragedy, thus changes into a caricature of the literary form. The sublime is transformed into the absurd, seriousness into triviality and there is inconsistency between subject and style. The film has been transformed into parody or at least into non-tragedy.

Because its author is not concerned with the restoration of any order, because the main concern of the film is triviality and also because modern artistic trends privilege a new mode of thought, shifting towards fragmentation, breach and discontinuity, the genre of the film is not tragedy any more. Godard becomes an ironic witness of the mediocrity of the contemporary world.

The conclusion we arrived at points to cultural elements as responsible for the possibilities open to artistic creation resulting from intersemiotic translations. As Godard's text cannot maintain the tragic tone and vision of the Renaissance, his film is transformed into something that does not belong to a definite genre and cannot even be taken as a tragedy.

References

BROOK, Peter (dir.). King Lear: Peter Brook's film of William Shakespeare's King Lear. Grã Bretanha/Dinamarca, 1969/1970.

GODARD, Jean-Luc (dir.). King Lear. França, 1987.

KOZINTSEV, Grigori. (dir.). Karol Lear. Rússia, 1967-69.

KUROSAWA, Akira. (dir.). Ran. Japão, 1984.

MULLIN, Michael. Peter Brook's *King Lear*: stage and screen. *Literature/Film Quarterly.* v.11, p.190-196, 1983.

SHAKESPEARE, William. *King Lear*. London: Methuen, 1961. (Arden edition).

_____ . *Rei Lear*. Trad. Carlos Alberto Cunha Medeiros e Oscar Mendes. Rio de Janeiro: Nova Aguilar, 1989. *Obra Completa,* 3 v. V.I, p. 621-704.

American Gothic: Terror from and of the Soul

Samuel COALE - WHEATON COLLEGE MASS., U.S.A.

Many contemporary critics of the gothic novel and horror movies today continually charge that these texts and scenarios have become clichéd, formulaic, and "old hat." Even though such a popular writer of gothic fiction as Stephen King has tried to add the dimension of women's liberation to his latest novels, such as *Gerald's Game* and *Dolores Claiborne*, these fictions continue to fall into formulaic patterns according to these critics.

The idea of a formula is a valid one, but it is not new. In a magazine in the 1790s, a critic could already describe the recipe for the typical gothic novel, so popular and conventional had it become in the short time since the publication of the first gothic novel, Horace Walpole's *The Castle of Otranto* in 1764. This formula included, among other things, the dark domain of the novel – a remote setting such as a haunted house or castle; the disruption of normal time and place; the hypnotic repetition of style in order to conjure up such a strange nightmarish world; a victim at the center of some dark plot or conspiracy; the lingering and much repeated emotions of dread, terror, fear, and isolation; and a text which re-enacted the very nightmare state for the reader that the characters had already

been plunged into, a dark world filled with secret ceremonies and rituals, governed by strange forces, dark powers, and demonic possession.

As Linda Beyer-Berenbaum suggests, "The Gothic imagination, like the religious imagination, reverently acknowledges awesome and terrible spiritual forces operative in the world...."[1]

Here is a typical beginning to a popular gothic novel, *Shadows* by John Saul

> Shadows.
> Timmy Evans woke up in shadows.
> Shadows so deep he saw nothing.
> Shadows that surrounded Timmy, wrapping him in a blackness so dense that he wondered if the vague memory of light that hovered on the edges of his memory was perhaps only a dream.

Notice that all the gothic elements are in place: the dark domain or nightmarish realm without any normal or conventional sense of time or place, the repetition of the style to suggest a hypnotic atmosphere and dreamlike state, the victimized isolated person at the center of this realm (Timmy), the sense of dread and terror, and the text re-enacting sentence by sentence the dreamlike state that Timmy – and by analogy, reader – is in.

How different this gothic opening is from the opening paragraph of a "regular" novel, such as Anne Tyler's *Saint Maybe*:

> On Waverly Street, everybody knew everybody else.It was only one short block, after all - a narrow strip of patched and repatched pavement, bracketed between a high stone cemetery wall at one end and the commercial clutter of Govans Road at the other. The trees were elderly maples with lumpy, bulbous trunks. The squat clapboard houses seemed mostly front porch.

Notice the ordinary, socially recognizable world that Tyler depicts here: a city block, where it is, what it looks like. And it's a relatively poor

neighborhood: the street has been patched and repatched, the maple trees are old and lumpy, the houses are squat. Also "everybody knew everybody else": in this neighborhood we find a sense of community and social connectedness. And all of Tyler's details are seen in full daylight; there are no shadows here, no hypnotically repetitive style, no stranded solitary soul.

In *The Castle of Otranto* we find the same gothic formula as it was first created. Walpole conjures up ghosts in a dark and gloomy castle with cavernous catacombs beneath it where characters can get lost as in a dream, victims in distress – in this case young women lusted after by older men – and terror, isolation, and dread. The tale is not presented hypnotically but as an old manuscript written by a monk discovered by Walpole in an ancient medieval crypt. At the same time Walpole adds other gothic elements which become part of the formula: incestuous yearnings and the promise of illicit sex; the demonic quest by the usurper Manfred to keep his throne at all costs; Manfred's attack on such established institutions as the family, the monarchy, and the church; and the haunted superstitions of the peasants in the castle who add to the tales of a giant ghost on the loose.

The gothic vision is inherently conservative, since it focuses on an evil creature, identifies and expels it, and then restores conventional society. In both cases – in Stephen King's modern novels and in Walpole's old one – the basic premise of the gothic vision is to expel the demon, oust the alien intruder, kill the vampire or whatever in order to restore the regular social community and status quo. The text acts as a kind of exorcism in ejecting or killing the evil scapegoat, so that "normalcy" and social community can be re-established. Formulaic fiction usually favors the status quo in almost all cases, which is why, perhaps, such fictions are so popular and so, finally, unthreatening and orderly.

In King's *Needful Things*, for example, as much as King delights in devil's doings, destroying characters and parts of Castle Rock, Maine,

right and left, thereby creating a kind of delicious anti-hero, the story ends with the devil's defeat. The devil loses, but his battle has been thoroughly celebrated by King in eradicating the characters for which King seems to have utter contempt. Likewise in *The Castle of Otranto*, the evil Manfred is overthrown, the rightful heir is restored to the throne, and everything's right with the world. Gothic visions in these popular instances turn out to be as conservative as the most conservative of politicians!

The really great American gothic tales and novels are those which are not so formulaic and simple. What writers such as Edgar Allan Poe, Nathaniel Hawthorne and Henry James did was to link gothic terror to the actual ambiguities which are involved in human perception. The terror may be "out there," but it is also "in here," implicit in human consciousness itself which is unable to know itself or the world or what is real and what isn't. That's what Poe meant when he said that he wrote gothic tales not "of Germany but of the soul." Human perception itself becomes terrifying, complicated as it is by uncertain, half-imagined, shifting perspectives that cannot be trusted. The self itself becomes a dark and bottomless pit, a trap within which human consciousness is buried alive, a place not merely of haunted houses and decaying castles but of haunted minds and decaying souls. Perception itself becomes a terrifying unknowable state, abandoned in an unknowable world – like the Puritans in the dark New England forests – within which demons and devils of all kinds lurk and tarry, eager to destroy and conquer. Life becomes a Manichean war between the legions of light and the forces of darkness not only in the world but within one's own paranoic mind and consciousness.

Poe's and Hawthorne's tales become radically ambiguous. What happens in them is never exactly certain except that darkness and death prevail. For example in Poe's "Ligeia" the narrator, writing in the first person, tells us that he met and loved the wise, dark, mysterious Ligeia whose last name he can't remember, nor can he remember where she came

from. She dies. He marries the blonde Rowena. But one dark night in the abbey where he lives, poison miraculously comes out of the air, slips into Rowena's wine, she dies, and Ligeia returns in Rowena's body, transforming Rowena's corpse into the dark Ligeia. However, the narrator takes opium and cannot be trusted. He describes Ligeia's face as if it were a skull. Hmm. Couldn't he have poisoned Rowena, killed her, and then kept her skull to conjure up in his opium state the perfect woman of his dreams – dead, dark, silent, wise, and immortal?

The tale can be read both ways at once. Neither way is the only way. So the reader is trapped in the very ambiguous perceptions that have trapped the narrator. Consciousness is itself uncertain and dark, disconnected and isolated, and the tale remains disturbingly ambiguous forever. Try this with other Poe tales – "William Wilson," "A Cask of Amontillado," "The Fall of The House of Usher" – and the same intriguing but unsettling dialectic will occur. We can never know the "absolute" truth, because the narrators themselves are untrustworthy, terrifying, and terrified. We as readers become imprisoned in such damnably ambiguous texts and are literally as buried alive within them as are Poe's characters in themselves.

The same is true in Hawthorne's tales. When Young Goodman Brown goes into the forest at night, is he dreaming, or is he awake? Why is he going there? Does he actually see demons and devils, or are these merely figments of his own diseased mind and imagination? Hawthorne's style is filled with such words and phrases such as "As nearly as could be discerned.. they might have been taken for father and son... his staff, which bore the likeness of a great black snake... might almost be seen to twist and wriggle itself.... This, of course, must have been an ocular deception, assisted by the uncertain light." We cannot be sure exactly of what is going on.

The text itself participates in Goodman Brown's dark voyage. It leads us into the mysteriously dark and uncertain forest. Brown comes out

convinced that everyone around him – including his wife Faith – is evil, but he would have believed this in any case because of his puritanical state of mind. We as readers, however, are left in doubt, uncertain, given no distinct answers, left looking through Hawthorne's glass darkly and wondering if the world really is so dark, whether or not we just think it is, or whether or not all has been a nightmare that doesn't matter in any case.

All interpretations are possible. The gothic text resists any final interpretation and leaves us victimized, isolated, fearful, and terrified by the evanescent and lingering sense of darker forces operating in the world and in ourselves which we cannot possibly understand or control. This is American gothic at its best as in Henry James' "The Turn of The Screw" and other later writers such as William Faulkner, H. P. Lovecraft, Joyce Carol Oates, Toni Morrison, Paul Theroux – and such popular contemporary writers as Stephen King, Dean Koontz, John Saul, James Herbert, Anne Rice, Ramsey Campbell, and others.

Contemporary critics of the gothic, once they accept the formulaic nature of it, should move on to other considerations. For instance, are there such things as ethnic-gothic novels such as Toni Morrison's *Beloved*, wherein she mines the same gothic ground as Hawthorne and Faulkner but does it as a black woman writing about the effects of slavery? What does she do that's formulaic, and what does she do – if anything – differently? Are there significant differences between male and female gothic writers? Male writers supposedly focus on imprisonment and confinement within a structure – Poe's obsession with being buried alive! – and female writers supposedly undertake a microscopic investigation of extreme emotional states usually occuring within the precarious balance of families between nurturing mothers and more demonic sensualists. And what about applying deconstruction to gothic texts? Why not deconstruct such modern-day "gothic-like" novels as Thomas Pynchon's *Gravity's Rainbow* or Don DeLillo's *Mao II* or *Libra*? Why not try to see what makes them tick in stylistic and linguistic detail

within the accepted gothic formulas? And have such popular writers as King and Koontz developed, changed, deepened their vision, or expanded their scope?

In every American gothic novel lurks that deceptive dark domain where both consciousness and reality are intertwined, interwoven, and interpenetrated one with the other. This realm remains as Hawthorne once described it in *The House of The Seven Gables*:

> There is no window! There is no face! An infinite, inscrutable blackness has annihilated sight! Where is our universe? All crumbled away from us; and we, adrift in chaos, may hearken to the gusts of homeless wind, that go sighing and murmuring about, in quest of what was once a world.

What was once a world of this nature will always be the gothic world of American gothic fiction. It is a world that refuses to disappear and will not scare.

Endnote

[1] Linda Bayer-Berenbaum, The Gothic Imagination: Expansion in Gothic Literature and Art (London: Fairleigh Dickinson University Press, 1982), p. 82.

The Dialectics of Family and Gender in
Toys in the Attic and *Jorginho o Machão*

Júnia de Castro Magalhães ALVES - UFMG

To read Lillian Hellman's *Toys in the Attic* and Leilah Assunção's *Jorginho o Machão* simply in terms of their fidelity to a pre-given notion of male or female ideology is to reduce them to purely documentary and political functions.

These two plays question the internalization of a cultural tradition which defines the feminine as inferior, but they do not aim at uncritically affirming the moral, intellectual, and emotional superiority of the feminine over the masculine. Such a simplistic approach would entrap the critic within a limited dualistic model that disregards the polysemic consequences of conflicting needs and values inherent in people who though of different ages, classes, sexes or races are searching for identity and freedom.

Toys and *Jorginho* are self-contained critical reflections on family conditions meant to undermine fixed meanings and ideological patterns. Their thematic focus is the dialectics of gender and generation in an intersubjective cultural representation of two given family realities. These plays dramatize the claustrophobic conditions of one American and one Brazilian household, respectively. They are both critical of long-held myths of family "civility," but they transcend any immediate or

domestic answer to this socio-political problem. The characters interact in courteous aversion, seeking to disguise their impatience, intolerance, and even hatred for one another. Their philosophy is, in Silviano Santiago's words, *"We shall be friends as long as you obey me."*[1]

The locale of reference in each of these plays is particular: the United States in *Toys in the Attic*; Brazil in *Jorginho o Machão*. A French American middle-class house of another generation in New Orleans (the Berniers) and a typically 1969-70 provincial middle-class Brazilian family (no last name is given, symbolic of any given name) are their human UmWelts[2] or theatrical stages.

The semiotic web[3] of events and rituals projects the ontologically oppressive and repressive nature of the social units in the plays — one matriarchal (the American), and the other patriarchal (the Brazilian).

The plots have similar constituents but follow different methods and use very different kinds of language. A virtual search for justice unifies these apparently contradictory dramas, products of two different sets of social conditions, and both forms of critical opposition to them.

Neither the United States nor Brazil goes alone through social and political crises. Julian, from New Orleans, is a small-time crook who embezzles seventy-five thousand dollars. Jorginho is a *Teatro do Lixo* (Trash Theatre)[4] stock character who follows the old established order to economic success: *inherit your father's business and marry a financial equal to create increasingly strong everlasting economic conditions.* The other characters are family crooks and weaklings, inhabitants of a cruel, abased and sarcastic universe. Where do they come from? Meanwhile these two plays represent the souls of two big countries reeling under staggering layers of corruption, as if corruption is the fabric of society. Both plays deal with emotional depression, matriarchal or patriarchal systems, crises of individual and social values, and the collapse of the

American dream – the dream Brazilians, for their part, have never had. For that matter Paulo Emílio Salles Gomes explains:

> We are neither North Americans nor Europeans, but deprived of an original culture, nothing is foreign to us, since everything is. The painful building of ourselves... The tenuous dialectics between not being and being another.[5]

The semiosis of the plays carries the two authors' thesis of family disintegration through the following signs, identified and exemplified for didactic and organizational purposes:

1. Extravagant indices of middle-class desires for comfort, pleasure, power, wealth and compulsive consumerism.[6]

> Julian. ... Look. It's going to be this way. The first money is for us to have things. Have fun. After that, I promise you, we'll invest. And like all people with money, we'll make more and more until we get sick from it. Rich people get sick more than we do. Maybe from worry. (*Toys in the Attic*, p.704)

> Jorginho (in a fit of rage).
> ... A jet plane... Onassis... And I Buy His Wife! I Buy Elizabeth Taylor! I Buy Brigitte Bardot! I Will Have Them, And then throw them away! I am big George the king... The king! Thank you, thank you. (*Jorginho o Machão*, p.156-157)

2. Very definite sex/role and generation/role confrontation and competition translated into mysticism, hatred, indifference or aggressiveness.

> Lily. Last night when I lay waiting for him, and he knew it, he said he'd had too much champagne and he wanted to sleep alone... (*Toys in the Attic*, p.719)

> Jorginho. Purificaaatioooooon!!!!
> Purificaaatiiiiiioooooon! Fuel and Firrre! Maria Alices! Pregnant Renatas! Burn them! Burn them! Tedious Mothers, Vexing Fathers, Families, Families, Clocks, Time Clocks, Uniforms, Everything, Buurrrn Them! (*Jorginho o Machão*, p.168-169)

3. Social bias coming up against the characters' ideals of individuality and free sexuality.

> Carrie. How can you stand what's happening here? He comes home with all this money nonsense. He's married to a crazy girl. I think he's in bed with a girl who ... (*Toys in the Attic*, p.731)

> Madalena. I won't shut up! I won't let him! I will not let my son get married to a nobody who went to bed with him just like that. I won't let him! (*Jorginho o Machão*, p.165)

4. Fantasy or a moment of release in which the characters break away from social bondage to escape into a dreamlife independent existence.

> Lily (smiling suddenly uplifted, happy). Did it rain? I don't remember. It was all days to me: Cold and hot days, fog and light, and I was on a high hill, running down with the top of me, and flying with the left of me, and singing with the right of me ... (*Toys in the Attic*, p.699)

> Jorginho. ... I TAKE, I TAKE MY PLANE. I FLY AND I DON'T NEED A PLANE! I FLY BECAUSE I'M SUPER-MAN! THE SUPER MAN! GEORGE THE SUPER! HURRAH!!! BRAVO! BRAVO!... (*Jorginho o Machão*, p.157)

Lily's lyrical escape as she remembers her wedding day contrasts with Jorginho's "linguagem de lixo" (trash language). These verbal explosions are symbolic of Jorginho's hatred for his family and his "power" over women. It also conveys his desperate need for recognition and security in an effort to free himself from the basic fact that he is a failure as a man.

Taking the family as a microcosmos or social unit, the performance texts[1] of these plays become macro-signs[2] of the game of chance and power played by men and women (husbands and wives, parents and children) in an effort to dominate, objectify and exploit one another. *Toys in the Attic* and *Jorginho o Machão* deal, in fact, with political issues involving essential questions of the most deeply rooted aspects of social organization.

The fundamental difficulty of the ideological views of *Jorginho* is that the position from which Assunção's critique of patriarchy is undertaken does not provide an autonomous source of legitimation, but is itself found in a patriarchal cultural tradition which the playwright and the Brazilian audience must work within even as they question it. In apparently conforming to the Brazilian *status quo*, the text seeks to undermine the patriarchal ideological system portrayed by the play.

Toys in the Attic does not mention sexual politics overtly but the male/female confrontation is certainly present. In order to support her points, Hellman chooses the social clichés of family disharmony. She had originally meant to make Julian the center of her play but was not able to. She explains,

> I don't think characters turn out the way you think they are going to turn out. They don't always go your way. At least they don't go my way.[9]

> "I can write about men, but I can't write a play that centers on a man."[10]

The result was a play dominated by women. Two of them, Anna and Carrie are close portraits of her father's unmarried sisters, Hanna and Jenny, whom she describes as follows:

> I suppose all women living together take on what we think of as male and female roles, but my aunts had made a rather puzzling mix-about. [...] I don't think this change-about of roles ever fooled my father, or that he paid much attention to it, but then he had grown up with them and knew about whatever it was that happened to their lives.[11]

In another instance she talks about her parents: *"Mama seemed to do only what my father wanted, and yet we lived the way my mother wanted us to live."*[12] In turn, the play seems to mirror the playwright's family experience.

Unlike Julian in *Toys in the Attic*, Jorge is at the center of *Jorginho o Machão*, but ironically he is, like everybody else in this Brazilian drama, relegated to the condition of object, in a society where men have tried to give themselves the prerogatives and privileges of emancipated subject, i.e., *"of someone who has won the right to publicly speak against the grain of tradition."*[13] The title of the play reflects the same irony. The suffix *-inho*, is a diminutive, and added to his name, contrasts with the augmentative suffix *-āo*, for big, in *machāo*. The supposedly strong Jorge, affectionately nicknamed Jorginho by his fiancée and friends and relatives, is, indeed, a weak man, oppressed by the calcified ideology and objectified historical conception of his social order. Julian, in Hellman's play, is also held in captivity in the attic of his own house.

Toys in the Attic and *Jorginho o Machāo* do not claim to affirm the superiority of men over women or women over men. Julian and Jorginho are unable to circumvent their circumstances, because their imaginations are as limited as their lives. As a result, they are entrapped not only in their bodies but also in their minds.

The two plays have a similar circular structure. Each begins with a scene focusing on the family and its anxieties. In both cases, the main characters are unhappy with the course of life their relatives have planned for them. Jorginho and Julian rebel against their family dreams by taking refuge in some maladjusted fantasy. The fantasy becomes a nightmare. As a result, each play ends much the same as it began – in thoughtless ritual and comformity. Jorginho's photo sequence is a semiotic device to ironically illustrate his progressive acceptance and eventual embodiment of the Brazilian established patriarchal order and male defined values of which he is also a victim – a complete surrender to the *machāo* (macho man) ideal that his family had projected for him. Julian, likewise, accepts his family's definition of happiness. He is his sisters' toy in their attic. They keep, fondle and protect him. They play with him. He is prisoner of their watchful scheme.

When, at the climax, Julian gets beaten and Jorginho is crippled, the audience (or the reader) cannot help feeling that all the characters are exploiters and exploited people – villains and victims of a beating and crippling society that they could not – and we cannot, at least immediately – overcome.

Endnotes

[1] SANTIAGO, Silviano. Apesar de Dependente, Universal, *Vale Quanto Pesa*. Rio de Janeiro: Paz e Terra, 1982. p.16. Santiago's essay focus on colonization and fake cordiality.

[2] *"In the evolution of life, the human UmWelt, or LebensWelt, developed out of, and as a species experience common more or less to any anthropoid and in different ways, to all animal forms."* (DEELY, John. *Basics of Semiotics.* Indiana University Press, Production Copy, 1990), p.222.

[3] *"As the spider spins its thread, every subject spins his relations to certain characters of the things around him, and weaves them into a firm web which carries his existence."* (J. von Vexkull, 1934: 14)

[4] The Trash Movement in the Brazilian theatre and movies is located in the end of the 1960s and beginnings of the 1970s. For more information see Paulo Emílio's "Cinema: Trajetória no Subdesenvolvimento" in *Argumento*. Rio de Janeiro, n.1, p.64, out. 1973.

[5] Paulo Emílio, op. cit., 1973. p.58.

[6] *"According to Garcia Canclini, consumption, understood as an 'appropriation of products,' should not be reduced to consumerism, passive reception, useless waste and depoliticization or to habits targeted by market research. It is, rather, the terrain of struggle between classes and other group formation over the distribution of goods, and as such it also serves as the medium in which needs and other cultural categories such as identity are constituted."* (George Yúdice, "Post modernity and transnational Capitalism in Latin America," *Revista Brasileira de Literatura Comparada 1.*, Niterói, March 1991), p.105.

[7] *"Unlike the literary semiotician or the analyst of myth or the plastic arts, the researcher in theatre and drama is faced with two quite dissimilar – although intimately correlated – types of textual material: that produced in the theatre and that composed for the theatre. These two potential focuses of semiotic attention will be indicated as theatrical or performance text and the written or dramatic text respectively."* (ELAM, Keir. *The Semiotics of Theatre and Drama*. New York: Methuen, 1980. p.3)

[8] According to *"Mukarovsky... the work of art as such (e.g. the theatrical performance in its entirety) is a semiotic unit whose signifier... is the work itself..., and whose signified is the 'aesthetic object' residing in the collective consciousness of the public... The performance text becomes, in this view, a macro-sign, its meaning constituted by its total effect."* (ELAM, Keir. *The Semiotics of Theatre and Drama*. New York: Methuen, 1980), p.7.

[9] PHILLIPS, John and HOLLANDER, Ann. The Art of Theatre: Lillian Hellman; An Interview, *Paris Review*, 33 (Winter-Spring, 1965). p.71.

[10] HELLMAN, Lillian. *Pentimento: A Book of Portraits* (New York: Signet, 1973). p.170.

[11] HELLMAN, Lillian. op. cit., 1973. p.9.

[12] HELLMAN, Lillian. *An Unfinished Woman: a Memoir*. New York: Banta, 1974. p.4.

[13] MORICONI JR., Italo. Chassez le Naturel et Il Reviendra au Galop: História Literária Hoje. *Anais do 2º Congresso Abralic*. Belo Horizonte: UFMG, 1991. p.208.

Virginia Woolf's *A Room of One's Own* and the Unlikely Tradition of Women's Writing

Sandra Regina Goulart ALMEIDA - UFMG

> They had no tradition behind them, or one so
> short and partial that it was of little help. For
> we think back through our mothers if we are
> women.
>
> *Virginia Woolf*
> *A Room of One's Own*

Virginia Woolf in her widely known feminist text *A Room of One's Own* (1929) addresses, in the form of a series of lectures to a women's college, the issue of women and writing in terms of the lack of a consistent tradition of women's writing in English literature.

The essays that Woolf presents at this college, however, are far from embodying the traditional form of lectures. In *A Room of One's Own*, not only does Woolf deconstruct several stereotypical assumptions about the tradition of women's writing, but she also adapts her own text to function as a form of transgression by refusing to conform to the standards of male discourses. By producing a text that intermingles the theoretical, the fictional, the poetical, and the political, Woolf ironically mimics and parodies traditional male conventions of a theoretical discourse. Her text questions and disrupts the power of

language through its very means of expression – through a discourse that resists confinement and rigidity.

In *Three Guineas* (1938), a later essay that reiterates some of the main themes of *A Room of One's Own*, Woolf expresses the belief that the "lecture" encompasses a form of traditional education that should be rejected by women (1992:37). She adds in a footnote that "psychologically, eminence upon a platform encourages vanity and desire to impose authority" (1992:155). Authority is precisely what women writers should strive to overcome and this is what Woolf does by subverting the lecture form in her address about women and fiction at this women's college. Woolf claims that she can never come to a conclusion on the subject about which she is asked to lecture. She adds that she will never be able to fulfill "the first duty of a lecture – to hand you after an hour's discourse a nugget of pure truth to wrap up between the pages of your notebook and keep on the mantel-piece for ever" (1989:4). Claiming that fiction is "likely to contain more truth than fact" she proceeds to subvert the lecture form even further by giving the reader instead a fictitious account of what a woman is likely to encounter when she decides to become a writer (1989:4).

Woolf offers the readers an ironic, creative and insightful argument concerning the "unlikely" tradition of women's writing. For Woolf, the silence to which women writers have been confined is due to materialistic conditions: "a woman must have money and a room of her own to write fiction" (1989:4). Besides acknowledging the historical and materialistic problems women have had to face, Woolf urges them to make their writing a means of resisting and subverting the imposed order of society (1989:109). She cites several women writers who have managed to engender new texts against all odds, especially those she considered to be the four great novelists of the nineteenth-century: Jane Austen, Charlotte Brontë, Emily Brontë, and George Eliot. The eighteenth-century poet, Anne Finch, known as Lady Winchilsea, is viewed as one

of the most important forerunners for her sensitive perception of the position of a woman who dares to assume the role of a writer:

> Alas! a woman that attempts the pen,
> Such an intruder on the rights of men,
> Such a presumptuous creature is esteemed,
> The fault can by no virtue be redeemed.
> They tell us we mistake our sex and way;
> Good breeding, fashion, dancing, dressing, play,
> Are the accomplishments we should desire;
> To write, or read, or think, or to enquire,
> Would cloud our beauty, and exhaust our time,
> And interrupt the conquests of our prime;
> Whilst the dull manage of a servile house
> Is held by some our utmost art and use.[1]

Over the years, women have consistently been banned from the literary scene by a theory of literature that serves the patriarchy by reinforcing a tradition of literary "paternity." The pen has conventionally been seen as a metaphorical penis and women, destitute of this requirement, considered incapable of being "adequate" writers. The woman writer, therefore, is deemed "lacking" in the physiological and sociological requisites necessary to become an artist, as the above poem demonstrates. Lady Winchilsea outlines the gloomy situation that women writers of her time had to face: they were placed either in the position of the "angel" or the "monster" in the house.[2] They were angels if they complied with patriarchal rules. On the other hand, if they transgressed their assigned roles, they received the epithet of "monsters" and "unnatural mothers." Such a prejudice was not limited to a historical past, the eighteenth-century. In fact, it can be argued that the woman writer's situation changed little over the following century. Only recently have women writers of the past received as much attention as their male counterparts.

Virginia Woolf in "Professions for Women" (1979:60) strongly advocates that for women writers to be liberated from patriarchal limitations they

must surpass the extreme roles that the patriarchy has created for them: "Killing the Angel in the House was part of the occupation of a woman writer." The image of the "Angel in the House," from Conventry Patmore's poem that emphasizes the Victorian ideal of submissive women, as well as its opposite, the "Monster in the House", had to be slain before they destroyed female creativity. Although in the nineteenth-century some women writers were able to publish and establish a name for themselves, they still had to cope with society's labeling them as either "angels" or "monsters." An example of this tradition of oppression is the pervasive need for women writers in the nineteenth-century to adopt a male pseudonym (Currer and Ellis Bell, and George Eliot) or an euphemism to hide their true identity (Jane Austen maintained her anonymity by publishing her novel under cover of the expression "by a lady"). The slaying of these engulfing myths is, Woolf argues, paramount for women writers' development of a literature of their own.

Woolf employs another metaphor, that of the "looking glass," to demonstrate women's position in a repressive patriarchal society. Women have traditionally been used by men as looking-glasses so that men could judge their superiority based upon what they perceived as the "visible" inferiority of women. She ironically contends that women "have served all these centuries as looking-glasses possessing the magic and delicious power of reflecting the figure of man at twice its natural size" (1989:35). Her argument, moreover, implies that men need this image to support their claims of superiority and to emphasize women's inferior position as mere objects of "reflection" of men's desires. For Woolf, women, besides attempting to kill the Angel in the House, must also strive to shatter and destroy their position as "looking glasses" for men.

After exploring the scarcity of a tradition of women's writing in the eighteenth-century, Woolf proceeds to address the nineteenth-century as a period in which some women writers, despite the odds, were finally able to give voice to their literary abilities. She remains, however, critical of the way these writers use language and approach their subject

matters. Among those Woolf considers to be the four great female novelists of the nineteenth-century, she seems to regard Jane Austen's and Emily Brontë's writing under a more favourable light because they "alone were deaf to that persistent voice, now grumbling, now patronizing, now domineering, now grieved, now shocked, now angry, now avuncular, that voice which cannot let women alone" (1989:75). She finds fault with Charlotte Brontë's works because of the anger she articulates in her work. According to Woolf, a woman writer has to avoid expressing "personal grievances" and has to maintain her calm so that she can transgress the rules imposed on her and act as Jane Austen does: by laughing at the literary conventions that are set to limit women's literary development. Needless to say, Woolf has been criticized for this argument which has been seen as an instance of her conservative approach towards the work of pioneer women writers.

Despite Woolf's extensive exploration of the development of women's writing from the eighteenth-century to the nineteenth-century she stresses the absence of a previous tradition by fictitiously developing the character of a woman writer from the sixteenth-century, whom she names Judith Shakespeare. This fictitious character serves as a female counterpart to the mythical male genius of William Shakespeare (1989:48). According to Woolf, Judith Shakespeare's fate would be the same as that of many other women writers born with a literary gift in the sixteenth-century: "she would certainly have gone crazed, shot herself, or ended her days in some lonely cottage outside the village, half witch, half wizard, feared and mocked at" (1989:49). While Judith is absent from the literary historical scene due to her inability to go against the established rules of patriarchy, she figures in Woolf's text not as an absence, but as a silenced existence. Her presence remains concealed but strongly felt, only to be rescued by Woolf in the end:

> "... my belief is that this poet who never wrote a word and was
> buried at the crossroads still lives. She lives in you and in me,
> and in many other women who are not here tonight ... for great

poets do not die; they are continuing presences; they need only the opportunity to walk among us in the flesh." (1989:113)

Woolf's perception and questioning of women's historical absence from the literary scene is also implicitly explored in her refusal to speak through her own voice and her insistence upon the depiction of multiple viewpoints in *A Room of One's Own*. The female narrator through whom she chooses to speak is provided with many identities: "Here then was I (call me Mary Beton, Mary Seton, Mary Carmichael or by any name you please)"; "'I' is only a convenient term for somebody who has no real being" (1989:4-5). Mary Beton, Mary Seton, and Mary Carmichael, to whom Woolf often refers throughout her essay, are names taken literally from a famous Scottish ballad from the sixteenth-century (during the reign of Mary Stuart, Queen of Scots) called "Mary Hamilton." This ballad has been deliberately recorded by the American folk singer and political activist Joan Baez – a song which, Baez stresses, traditionally belongs to "public domain":

> Word is to the kitchen gone
> And word is to the hall
> And word is up to Madam the Queen,
> And that's the worst of all,
> That Mary Hamilton's borne a babe
> To the highest Stewart of all.
>
> Arise, arise, Mary Hamilton,
> Arise and tell to me
> What thou hast done with thy wee babe
> I saw and heard weep by thee.
>
> "I put him in a tiny boat
> And cast him out to sea
> That he might sink or he might swim
> But he'd never come back to me."
>
> Arise, arise, Mary Hamilton,
> Arise and come with me.
> There is a wedding in Glasgow town
> This night we'll go and see.

She put not on her robes of black
Nor her robes of brown.
But she put on her robes of white
To ride into Glasgow town.

And as she rode into Glasgow town
The city for to see
The bailiff's wife and provost's wife
Cried, "Ach and alas for thee!"

"Ah, you need not weep for me," she cried.
"You need not weep for me.
For had I not slain my own wee babe
This death I would not dee.
"Ah little did my mother think
When first she cradled me
The lands I was to travel in
And the death I was to dee.

"Last night I washed the Queen's feet
And put the gold in her hair
And the only reward I find for this
The gallows to be my share."

"Cast off, cast off my gown," she cried,
"But let my petticoat be
And tie a napkin round my face
The gallows I would not see."

Then by and come the King himself
Looked up with a pitiful eye
"Come down, come down, Mary Hamilton,
Tonight you'll dine with me."

"Ah, hold your tongue, my sovereign liege,
And let your folly be
For if you'd a mind to save my life
You'd never have shamed me here.

"Last night there were four Marys
Tonight there'll be but three
There was Mary Beton, and Mary Seton,
And Mary Carmichael and me."

It is interesting to notice the absence from Woolf's essay of the fourth
and most prominent voice in the ballad which takes her name, "Mary

Hamilton." By intentionally omitting Mary Hamilton's voice, Woolf's text reinforces her presence in that her image and what it represents lurk throughout the essay. Her absence is emblematic of women's omission from history and emphasizes Woolf's argument. Mary Hamilton's tragic fate, like that of Judith Shakespeare's, is the product of a patriarchal society that confines women to traditional roles and leads them to death and absence from the historical process. Both Judith Shakespeare and Mary Hamilton become in Woolf's text the embodiment of the fate of women in the previous centuries: Judith is refused an outlet to her literary abilities and Mary Hamilton is victimized by the authority of the patriarchy embodied by the King who abuses her and the Queen who revenges the King's unfaithfulness through Mary's death. However, in the same way that Judith "still lives" in Woolf's text, so does Mary Hamilton. Her symbolic absence also represents the hopes for a future generation. The new heroine that Woolf devises in the end of her text will be born by "drawing her life from the lives of the unknown who were her forerunners" (1989:114) – from the lives of Judith Shakespeare and Mary Hamilton.

Woolf's text raises an important issue concerning women's writings: how can women be simultaneously absent from the historical process and present as an intrinsic tradition in women's writing? In other words, how can women write from the space of otherness, a marginal space, the locus of the exile which is also emblematic of the absence of a place, a "non locus"? For some feminist theoreticians and women writers this non-locus of the other and the marginal is not the empty, absent, bare, and sterile place reserved for women in a patriarchal system, but rather a fertile, productive, and transgressive site. Writing about, from, and through "spaces of otherness" – to use Ruth Salvaggio's term – becomes a highly transgressive strategy. Nevertheless, it is also an enormous challenge in the sense that women writers have to struggle against an inherent double-bind: the desire to subvert an imposed order and the inevitability of their being culturally and socially inscribed in this same order, and the need to represent that which is intrinsically

unrepresentable in traditional Western forms of representation. As Shoshana Felman puts it,

> ... the challenge facing the woman today is nothing less than to "reinvent" language ... to speak not only against, but outside of the specular phallogocentric structure, to establish a discourse the status of which would no longer be defined by the phallacy of masculine meaning. (1991:10)

Yet, one should be aware of the problems of such a position of resistance in that no writing or criticism can be completely outside the dominant structures. It can, however, resist incorporation and seek alternative possibilities within the existing order. Woolf implicitly addresses this complex issue when she reminds women writers in *A Room of One's Own* of "how unpleasant it is to be locked out," but she also cautions them that "it is worse to be locked in" (1989:24).

Woolf recognizes the need for women to devise a transgressive practice of writing that will allow them to speak from this ambiguous "space of otherness" as a feminist attempt to break with what has been imposed beforehand. She implies that nineteenth-century writing by women, despite their important contribution to the establishment of a tradition of women's writing, does not prefigure a complete transgressive practice. Towards the ending of *A Room of One's Own*, Woolf devises a fictitious woman writer whom she calls Mary Carmichael, a name taken from the sixteenth-century Scottish ballad, who finally manages to break up "Jane Austen's sentence.... Then she had gone further and broken the sequence – the expected order" (1989:91). Woolf hints that Mary Carmichael is able to do it because "she had done this unconsciously, merely giving things their natural order, as a woman would, if she wrote like a woman" (1989:91). Woolf advocates the production of a feminist poetics that explores the rupture of the woman writer with the values and ideals of a patriarchal society through a discourse that is in itself subversive of the "expected order." It is a discourse that manages to break with the double-bind and to speak from the place of otherness.

Women writers have suffered oppression by a male discourse, and, appropriately, it is through a discourse that resists the rules of the established canon that they should try to change the status-quo. Woolf addresses this issue in *A Room of One's Own* by arguing that in women's writing "the book has somehow to be adapted to the body" and that "we think back through our mothers if we are women" because it is "useless to go to the great men writers for help, however much one may go to them for pleasure" (1989:76). These statements find resonance in some contemporary notions about women's writing which stress a feminine discourse that comes from and moves towards women and that finds expression mainly through their bodies. Yet, how would one describe such a discourse?

In *A Room of One's Own*, Woolf consistently declines to give a definition of "woman" and of what a feminine writing should consist:

> All I could do was to offer you an opinion upon one minor point –
> a woman must have money and a room of her own if she is to
> write fiction; and that, you will see, leaves the great problem of
> the true nature of woman and the true nature of fiction unresolved.
> I have shirked the duty of coming to a conclusion upon these two
> questions. (1989:4)

By refraining from "defining" a woman's practice, Woolf rejects the constraints of a society that labels and confines women and their literary practice.

Woolf, without attempting to define a feminine discourse, offers some insights into women's writing by contrasting it with a traditional male discourse. She opposes the multiple viewpoint that she chooses to voice her concerns about women's writing to what she sees as the self-centeredness and limitations of men's writings: "But why was I bored [with male texts]? Partly because of the dominance of the letter 'I' and the aridity, which, like the giant beech tree, it casts within its shade. Nothing will grow there" (1989:100). Woolf tries to balance the distinction

between men's and women's writings by introducing her concept of the androgynous mind: "in each of us two powers preside, one male, one female; and in the man's brain, the man predominates over the woman, and in the woman's brain, the woman predominates over the man" (1989:98). However, in her development of this concept, Woolf seems to favor the predominance of the feminine in that it breaks with the rigidity and directness of male writing. How this feminine discourse becomes articulated will not – or maybe cannot – be explicit.

A Room of One's Own is at the center of a heated debate over the nature of feminism in Virginia Woolf's work. On the one hand, she has been hailed as one of the first women to fully expose the conditions of women writers in a repressive patriarchal society. On the other, she has been accused of preserving conservative ideas about gender and class.

Elaine Showalter, in *A Literature of One's Own* (1987:286), a title obviously taken from Woolf's work, sees Woolf's efforts to develop a feminist aesthetics as a "troubled feminism." Toril Moi, however, rescues Woolf from the resentment of those critics who believe her work to be "insufficiently feminist" by proposing a reading of Woolf's writings in light of a "combination of Derridean and Kristevan theory" (1985:15-18). Woolf manages to break with symbolic language in both her essays and her fiction by rejecting a logical and objective form of writing – a notion that is at the heart of Kristeva's theories about a feminine and poetic language. It is Moi's belief that "Kristeva's feminism echoes the position taken up by Virginia Woolf some sixty years earlier" in that they both strive to deconstruct the binary oppositions of masculinity and femininity (1985:13).

I would argue that Woolf's feminist notions, besides encompassing a feminist reading in line with Kristeva's theories, display many of the feminist concepts developed later by other contemporary French feminists, such as Hélène Cixous and Luce Irigaray: the metaphor of the "looking-glass," the notion of "androgynous" writing, the need for

women to write as a means of resisting and subverting the patriarchy, the connection between women's writing and the maternal body, the importance of women's writing to attempt to parody and deconstruct the discourse of male domination, the perception of women's multiplicity, and the impossibility of defining woman and their literary practice.

In light of the many similarities with contemporary feminists, Woolf's influence and importance cannot be denied, even if one considers the criticism she has received, but, I would point out, so have many French feminists. Seen from this standpoint, Woolf's text becomes a landmark in the sense that it explores the "unlikely" tradition of women's writing while setting the standard for the development of a future "likely" tradition in women's theoretical writing. I see Woolf's *A Room of One's One* as her attempt to do what her fictitious character Mary Carmichael finally managed to do: to break the sentence and the sequence – "the expected order" of patriarchy, thus establishing a transgressive place from which women can speak and, above all, write.

Endnotes

[1] Although Woolf quotes this poem by Anne Finch in *A Room of One's Own*, I chose to use Gilbert and Gubar's version from *The Norton Anthology of Literature by Women* (1985:100) because Woolf, for some reason, omits what I think is one of the most relevant lines of the poem: "Such an intruder in the rights of men."

[2] For an exploration of the issues of a tradition of literary paternity and the labels of "angel" and "monster" that women have been granted over the years, see Gilbert and Gubar, 1984. p. 40-44.

Bibliography

FELMAN, Shoshana. Women and Madness: The Critical Phallacy. In: WARHOL, Robyn R., HERNDL, Diane Price (Ed.). *Feminisms: An Anthology of Literary Theory and Criticism*. New Brunswick: Reetgers UP, 1991. p.256-302.

GILBERT, Sandra M., GUBAR, Susan. *The Madwoman in the Attic: The Woman Writer and the Nineteenth-Century Literary Imagination*. New Haven: Yale UP, 1984.

_____, _____ (Eds.). *The Norton Anthology of Literature by Women: The Tradition in English*. New York: Norton, 1985.

MOI, Toril. *Sexual/Textual Politics: Feminist Literary Theory*. New York: Routledge, 1985.

SALVAGGIO, Ruth. Theory and Space, Space and Woman. *Tulsa Studies in Women's Literature* v.7, n.2, p.261-282, 1988.

SHOWALTER, Elaine. *A Literature of their Own: British Women Novelists from Brontë to Lessing*. Princeton: Princeton UP, 1987.

WOOLF, Virginia. Professions for Women. In: BARRETT, Michele (Ed.). *Women and Writing*. New York: HBJ, 1979. p.57-63.

_____. *A Room of One's Own*. New York: HBJ, 1989.

_____. *Three Guineas*. New York: HBJ, 1992.

Primitive and Modern: Some Translations

David MURRAY - University of Nothingham
Inglaterra

The ultimate focus of this essay is on a series of translations and
reworkings of a very brief North American Indian song into a poem,
but in order to set up the terms in which these translations should be
seen I will need to give some context, both in views of translation and in
the particular cultural context in which Modernist artists encountered
and appropriated aspects of 'primitive' cultures. As I shall be using the
idea of translation in its widest cultural sense as well as in a literary
context, it may be worth reminding the reader of some of the broad
changes that have taken place in approaches toward translation, which
allow me to include a wider cultural dimension than is perhaps normal.

The idea of equivalence, which has tended to dominate discussions of
translation over the years, has involved a concentration on lining up
individual words and finding as close a similarity in meaning as possible.
As has often been pointed out, of course, the ability to recognise
equivalence implies a third term or category within which they can be
aligned. There is also an inevitable progression out from the word, to
phrase, to sentence, and in the end to cultural contexts – in other words
to an awareness of the many frames within which any question of
equivalence needs to be seen. This move out from word to culture is
also linked to the tendency now to talk about source and target languages

or cultures. This allows the focus to move to the ways in which a word or sentence operates in the target language and by extension how the particular needs of the target group are being served by particular translations. This clearly can then connect up with Foucauldian ideas of discourse but can also show how transformation and invention in translation has a cultural significance rather than being merely a regrettable falling away from the ideal of equivalence and transparency of translation. In this way the focus has changed from the way a translation is appropriate (i.e. fitting – in this case fitting neutrally and invisibly between two languages) to the ways in which it can appropriate or even expropriate (that is make something its own.) And my question in this essay is, to work this particular pun to death, which is the *proper* approach to take to Indian translations – appropriateness or appropriation? And can we separate the two?

Before we look at specific instances, though, we need to look at the full cultural implications of the encounter with the primitive in early Modernism. James Clifford, has described the category of the primitive as "an incoherent cluster of qualities that at different times have been used to construct a source, origin or alter-ego confirming some new 'discovery' within the territory of the Western self"[1]. Elsewhere primitivism has been described as standing for "that aspect of the romantic movement which is based on the assumption that there exists a form of humanity which is integral, is cohesive, and works as a totality. Since this totality is always defined as a critical opposite to the present, it is always a representation of a primitive 'other'[2].

In early Modernism this appeal to the primal, the unified, the universal can be seen at the level of form, as in the interest in abstracted and purified lines, and links up with a rejection of what was seen as a fussy and cluttered art of the West. So we get a rhetoric of the fundamental, simple, pure, an anti-aesthetic which corresponds very closely to the new celebration of the machine, so that this too is a sort of primitivism, as in Vorticism and Futurism. Edward Stieglitz's 291 exhibition of

African Sculpture, for instance, was reported in *The World* in 1915 under the heading 'African Savages the First Futurists'.[3] The stress on form and stripping down was only one aspect, of course, though most often stressed through Picasso's use of African masks, but the encounter with primitive objects in the Trocadero, and elsewhere, was more varied. The Surrealists, for instance, were more interested in Oceania, and in the N.W. Coast of America, and if we look at the Surrealist map of the world we see that it is these areas that are huge and dwarf both Europe and most of Africa.

In general, though we can say that for European artists and writers the engagement with the primitive in this period was one which stressed the primal, the elemental, whether at the level of form, as in Cubism of the shamanistic performances of Hugo Ball, or the unconscious of Surrealism. What they had in common was an appropriation of objects and elements from other cultures in such a way as to elide and avoid the issue of their historical and political relation to them. This happens in two ways. First, in positing these people as a totality, as organic and static, you are able to use any piece of work metonymically and see it as primal, universal and *original*. Secondly, once you see it that way you can ignore the historical contingencies of colonialism. In fact, pure tribal objects, songs, and myths did have histories, and often even individual named producers, but it is part of what Johannes Fabian calls the denial of coevalness to posit a place outside history, an ethnografic present.[4]

So the need to find a pure origin is linked in complex ways with the denial of the historical complicity with the realities of colonial exploitation. When we turn our attention to North America it is easy at one level to pick out the similarities, the taking over of European concerns, as in Stieglitz's exhibition of African sculpture, and the influence of trips to Europe on so many painters, but the differences are more interesting. Marsden Hartley, for instance, while in Europe and under the influence of Cubism, painted a series of paintings using American Indian motifs, which he called 'Amerika' (around 1914). What

I find interesting, though, is that he spells America with a K, as in German, but to my ears it also sounds more primitive or exotic.[5] So it's like seeing what is primitive in America through European eyes, and of course a similar commodification of another aspect of America was going on with black music, which was being *presented* as primitive, and exotic, though this important area is outside the terms of this essay.

Under a European influence, then, white American artists and patrons *could* take two aspects of America, Indians and blacks, and subject them to the same decontextualising and dehistoricising operation in order to make them serve as primitive, and primal, and to some extent they did. But it is not so easy for them to make America into Amerika, because the relation to these primitive others is not that of France or England to distant colonies, but a much closer and more ambiguous relation, stretching over centuries and deeply involved with the actual identity of Americans. The European use of both blacks and Indians to represent America, to stand metonymically for its primal and original energies could not be so easily adapted by Americans. What happens, I would suggest, is that the presence of real blacks in America, and the unavoidable historical and political reality of racism and segregation made it impossible, apart from a few tries, to identify them easily with the African qualities that were being celebrated in Europe. In the case of Indians, though, it was easier. There was already a framework in which the Indian was both a symbol of America (appearing on coins and so on) and representing the original and natural, and at the same time that which, under America's manifest destiny has to be effaced and removed in order for America to exist as historical, modern nation.

As a result, then, the Indian is much more acceptable and usable as primitive than the black, and it is interesting that both Marsden Hartley (of 'Amerika') and Max Weber (the American painter, of course, not the sociologist) wrote articles calling for a new American aesthetic based on Indian artistic values. In 'Red Man Ceremonials: An American Plea for American Aesthetics' Hartley argued that 'We are not nearly so

original as we fool ourselves into thinking... We have the excellent encouragement of redman aesthetics to establish ourselves firmly with an aesthetic of our own.'[6] The complex meanings of 'original' here, and the transition from 'red man' to 'our own' need only be noted. Hartley was also a prolific poet, contributing poems to Harriet Monroe's magazine *Poetry* which in 1917 had a special issue on American Indian poetry or Aboriginal poetry, as it called it, 'not translations but interpretations'. It was a strange mixture, but one of the contributors, Mary Austin, is interesting in the claims she makes in her later volume of Indian poetry which she called 're—expressions', *The American Rhythm*.[7] She finds in American Indian song a rhythm which is formed from an engagement with the land of America itself, and is therefore potentially sharable by all the later Americans, 'the very pulse of emerging American consciousness'.(p.11) In an earlier essay she had rejoiced that

> Probably never before has it occured that the intimate thought of a whole people should be made known through its most personal medium to another people whose unavoidable destiny it is to carry that thought to fulfilment and make of that medium a characteristic literary vehicle.[8]

This gives it a universal, transhistorical quality, which would be 'the means by which men and their occasions are rewoven from time to time with their allness; and who is there to tell me that this, in art, is not the essence of modernity?' (p.57) This reweaving and unifying is crucial, as is the stress on the communal, and it is interesting to notice that she manages to define the positive effects of rhythm in such a way as almost to exclude jazz. 'The Amerind', she says, 'admit none of the bond—loosening, soul—disintegrating, jazz—born movements of Mr Sandburg's *'Man Hunt'* which would lead to 'spiritual disintegration'. She is obviously bothered about how to cope with jazz, and returns to it later in a long footnote. As jazz is a 'reversion' to our earlier responses it could create disintegration, which would make 'an excessive exclusive indulgence in jazz as dangerous as the moralists think it' whereas an intelligent use of it 'might play an important part in that unharnessing of traditional

inhibitions of response indispensible to the formation of a democratic society'. I think this is in code, and really implies that jazz is acceptable when used by whites, (intelligently) but when 'indulged in' as by blacks, is bad, whereas there are no such reservations about Indian rhythms. In this she reflects the curious way in which jazz, when it was attacked, was said to be both mechanical and primitive, raising the spectre of a disintegrating modernity as well as a bestial savagery.

An adequate account of the differing uses of Indian and black in terms of the primitive is beyond the scope of this essay, so I want now to concentrate on just one example of how Indian materials are used and appropriated within preexisting cultural categories of Western Modernism. While Indian myths and narratives and songs had been translated for centuries, and in the 19th century the idea of primitive eloquence exemplified in the phenomenon of Ossian had given a framework in which they could be seen as 'poetic', the particular Modernist artistic preoccupations meant a different conception of the poetic, and therefore a different treatment of Indian materials from the earlier Romanticism. In particular the activities of the 'salvage ethnographers' meant a potentially huge source of materials, but these materials were initially pretty forbidding for poets schooled in concepts of beauty and simplicity. To take just one example, the ethnomusicologist Frances Densmore was busy recording and transcribing one of the largest collections of Indian music, much of it published at the time in scholarly form by the Bureau of American Ethnology, where the songs appeared in transcription with a literal and then a looser translation, and in some cases even accompanied by a drawing made by the singer, reflecting the subject of the song.

If we look at these raw materials in Densmore or in the huge collections of Franz Boas and George Hunt, typically consisting of a phonetic transcription of the original language, with an interlinear translation and detailed ethnographic notes, it does not look immediately promising.

Because of developments associated with Imagism, though, there was an interest in the single image of the conjunction of images. Ezra Pound had published Ernest Fenollosa's 'The Chinese Written Character As a Medium for Poetry' and had been intrigued by the idea of the concreteness and the use of juxtaposition in what he (mainly wrongly) conceived to be method of ideogrammic writing. The precision and concreteness of the short *haiku*, too, consisting of a specific number of syllables, was influential, but Pound had also chosen one of the most fragmentary bits of Sappho and produced a three word poem. In other words using other cultures he was developing an aesthetics of the fragment, which of course connects up with larger elements in Modernism. The poetic was seen to reside in the understated, the concrete. So we have a set of practices in place which can be used to quarry out a certain sort of poem from a complex set of material, such as Densmore's. Let us follow the process.

In Densmore's lengthy study of Chippewa music, for instance, we find several pages given over to the notation of the melody, phonetic transcription of the words, details of the Chippewa singer, Mary English, and details of the geographical and historical setting. There is also a literal translation, set out alongside the Chippewa phrases, which appears on the page as follows. (I omit the Chippewa after the first two indicative lines. A loon, incidentally is a waterbird.)

Manodug'win ..... A loon
Nin'dinen'um ..... I thought it was
                    But it was
                    My love's
                    Splashing oar

                    To Sault Ste Marie
                    He has departed
                    My love
                    Has gone on before me
                    Never again
                    Can I see him.[9]

Densmore adds that 'part 3 is similar to part 1', giving us a song with a repeated refrain set in a specific location. But here is how it soon appears in a collection of Indian 'poetry'.

> *Love Song*
> (Chippewa)
>
> A loon I thought it was
>
> But it was
>
> My love's
>
> Splashing oar.[10]

It has gained a title, but lost its second verse and repeat, and yet in a footnote on the same page it is praised for being so spare and minimalist!

> This lovely poem, composed of but a few words, though full of overtones and hints of things unsaid, bears such a strange resemblance to those exquisite little poems of classic Japanese literature that I cannot refrain from calling the reader's attention to this fact. In order to understand part of the American Indian's poetry one must be well trained in swiftly reacting upon the faintest suggestions, intimations and symbols. He very often gives only the mere outline of a fleeting mood or of the lasting impression of an experience.

It is also interesting to note that Carl Sandburg, in the issue of Poetry mentioned above, following Densmore more closely, but inventing a different title, 'My Love Has Departed' comments that 'Suspicion arises that the Red Man and his children committed direct plagiarisms on the modern imagists and vorticists.'[11] Clearly there is irony in his remark, but it is hard to know how much of the joke he was really aware of. This is just one of many instances of the way a poem is as much created as translated, but my main point here is not primarily to criticise these poems for lack of equivalence, but to show the importance of the target group and its cultural predispositions. Nevertheless the question does arise about the adequacy of what's happening here, on all sorts of levels,

.

because even if I am not concerned with whether these are equivalents, most of the poets here certainly claim to be, and this needs following up. What is being celebrated is very well revealed in something W.B. Yeats said about Rabindranath Tagore's own translation of his poetry into English – which now strikes us as rather mushy and Victorian in tone.

> A whole people, a whole civilisation, immeasurably strange to us, seems to have been taken up into this imagination: and yet we are not moved because of its strangeness but because we have met our own image, as if we had walked in Rossetti's willow woods or heard for the first time in literature, our voice as in a dream. [12]

Poetry is thus seen as the universal communicator, which gives licence to the translator or editor to concentrate on an irreducible essence. One of the editors of a collection of Indian poems puts it quite clearly

> My only criterion has been to make the lines feel good, moving? I have tried to pay no attention whatever to the value of a given piece as ethnological information or for that matter to its religious or historical significance. I have tried to approach each line exactly as I might a line of Sappho's, only as literature. [13]

He then justifies his stripping off of repetition, on the grounds that

> some images otherwise beautiful to us lie buried all but out of sight in repetition.... In the buffalo songs, for instance, it would not only be wearisome to follow faithfully all the magic numbers but we might also, who knows materialize a buffalo. We don't really want the buffalo... All that we want from any of it is the feeling of its poetry.

What we are faced with here is a very prevalent response, and one which could be seen very clearly in a much later manifestation in a major exhibition at the Museum of Modern Art in New York in the 80's, which juxtaposed the Modern and Primitive. The key term used by the organisers appears in the title, 'Affinities of the Tribal and Modern' but

a lot of the discussion and criticism it generated was about the ultimately dehistoricising and essentialising activity that was going on. One line of critique for instance went along the lines of Hal Foster:

> However progressive once, this election to our humanity is now thoroughly ideological for if evolutionism subordinated the primitive to western history, affinity–ism recoups it under the sign of western universality.[14]

In other words the appeal to a common humanity expressed in a common form called art or the aesthetic is too contaminated by what has always in the past been smuggled in under the guise of humanist universalism. If we accept this line, though, we are left with a dilemma. Is it possible to have any response to something really other, really different? If we don't have an experience of recognition, don't we in fact have a reaction which in ideological terms is more worrying, a sort of frisson, an aesthetics of the unnameable, a modern aesthetics of the sublime? In translation terms then we could say that the Modernist versions I've looked at actually rework them for a target audience, while claiming, via the universalising and essentialising idea of art, that they are involved in accurate equivalence–finding. If this approach has increasingly appeared untenable it does not mean that other directions have been without their contradictions and difficulties. One way is to aim for fuller accuracy by expanding the frame, by giving more ethnographic detail.[16] The other is much more consciously to be aware of the target audience and make reworkings, which do not claim accuracy. Both approaches have now invoked the idea of dialogue and collaboration as a way out of the inequality of power in this situation, but this raises a whole other set of questions, and maybe serves only to disguise the ideological investment in this material, in getting what the modernists would have called 'the spirit of the original'.

Perhaps it is right, given the complexity of power–relations between cultures, that there should be no short–cuts through this particular cultural minefield, and any claims to get the spirit or essence of another

culture should be suspect. If I now return to my original question about appropriation, it is merely to offer a reminder of the tangle of meanings around the ideas of proper and propriety and property, which are raised in any discussion of appropriation, whether it is the use of a poem, or as in early trading or conquest, the expropriation of land. Perhaps the moral is that we cannot and indeed should not, get Indian culture as cheaply or as easily as the early settlers, in a most improper sort of appropriation, got so much of Indian property.

Endnotes

[1] James Clifford, The Predicament of Culture: Twentieth-Century Ethnography, Literature and Art (Cambridge, Mass.: Harvard U.P., 1988), p. 212.

[2] Susan Hiller, (ed.). The Myth of Primitivism (London and New York: Routledge, 1991), p. 55.

[3] William Rubin, (ed.). Modern Art: Affinities of the Tribal and the Modern (New York: Museum of Modern Art, 1984), p. 463.

[4] Johannes Fabian, Time and the Other: How Anthropology Makes Its Objects (New York: Columbia U.P., 1983).

[5] It is interesting to compare the use of K rather than c to suggest Africanness in black radical political manifestoes and poems in the 1970s in America. (Though there is also the use of it in Ku Klux Klan..).

[6] Marsden Hartley, Red Man Aesthetics.

[7] Mary Austin, The American Rhythm (1923, enlarged 1930) repr. New York: AMS Press, 1970).

[8] 'The Path on the Rainbow', reprinted in Abraham Chapman, (ed.) Literature of the American Indian: Views and Interpretations (New York: New American Library, 1975) p. 267.

[9] Frances Densmore, Chipewa Music, (Bulletin 49, Bureau of American Ethnology, Smithsonian Institution, repr. Minneapolis: Ross and Haines, 1973), p. 150–1.

[10] Margot Astrov, (ed.). American Indian Prose and Poetry: An Anthology (Gloucester, Mass: Peter Smith, 1970), p. 79.

[11] Carl Sandburg, 'Aboriginal Poetry', *Poetry*, Vol. 9, January 1917, p.255.

[12] W.B Yeats, quoted in, Mahasweta Sengupta, "Rabindranath Tagore in Two Worlds" in S. Bassnet + A. Lefevere, *Translation, History and Culture* (London: Pinter, 1990) p. 60.

[13] William Brandon, (ed.) *The Magic World: American Indian Songs and Poems* (New York: William Morrow, 1971), p. xiv.

[14] Hal Foster, *Recordings: Art, Spectacle, Cultural Politics* (Port Townsend, Wash: Bay Press, 1985), p. 188–915).

[15] For examples, from a wide range, of the continuing debate over Indian translations, see B. Swann and A. Krupat, *Recovering the Word: Essays on Native American Literature* (Berkeley: California U.P., 1987) and, more briefly, William Bevis, 'American Indian Verse Translations' in Abraham Chapman, (ed.) *Literature of the American Indian: Views and Interpretations* (New York: New American Library, 1975). For recent examples of creative or what he calls 'total' translation, see Jerome Rothenberg, *Shaking the Pumpkin: Traditional Poetry of the Indian North Americas* (Garden City, NY: Doubleday, 1972).

Literatura em Expressão Alemã

Reflexões sobre
Ensinar e Aprender Segundo Brecht

Vilma Botrel C. de MELO - UFMG

O Prof. Hans Mayer narra em seu livro *Bertolt Brecht und die Tradition* o seguinte episódio: Uma das colaboradoras de Brecht no "Berliner Ensemble", ao receber a incumbência de uma revista de escrever sobre ele, perguntou-lhe o que deveria escrever. "Descreva-me simplesmente como aquilo que sou, como professor".

A preocupação com o ensinar e o aprender é uma constante na obra de Brecht. Nesse sentido, as peças didáticas são o ponto alto de sua produção, bem como os textos sobre a mesma, onde está contido o seu pensamento político, estético e filosófico.

Não menos importantes ou interessantes para uma maior e melhor compreensão destes aspectos em sua obra são os seguintes textos do autor: o poema "Lenda da criação do livro do TAOTEKING no caminho de LAO-TSE para a emigração", alguns trechos em prosa contidos no romance *Turandot* e as *Histórias do Sr. Keuner* (*Geschichten vom Herrn Keuner*), os quais serão objeto de um pequeno estudo a ser feito neste trabalho, a partir do pensamento estético de Bertolt Brecht.

Poesia e aprendizagem: "Lenda da criação do livro do Taoteking no caminho de Lao-tse para a emigração"

LENDA DA CRIAÇÃO DO LIVRO DO TAOTEKING NO CAMINHO DE LAOTSE PARA A EMIGRAÇÃO[1]

Bertolt Brecht

Quando fez setenta anos e estava já alquebrado
O professor foi buscar repouso
Mais uma vez a bondade estava em baixa no país
E a maldade se tornava cada vez mais forte
E ele arrumou seus sapatos.

E carregou o que precisava:
Pouco. Foi reunindo aqui e acolá
O cachimbo que fumava à noite
O livrinho que sempre lia
Um pouco de pó branco.

Alegrou-se mais uma vez ao ver o vale que amava
E esqueceu o vale quando continuou seu caminho pelas montanhas
E o boi alegrou-se com o verde
Mastigando, enquanto carregava o velho.
A caminhada era para ele rápida o suficiente.

Mas no quarto dia, em meio às rochas
Seu caminho foi barrado por um aduaneiro
"Tem algo a declarar?" - "Nada".
E o garoto que conduzia o boi disse "Ele foi professor".
Assim tudo ficou esclarecido.

Mas o homem, com um gesto alegre
Perguntou ainda: "E ele descobriu algo novo?"
Disse o garoto "Que a água mole em movimento
Com o tempo vence a pedra dura.
Você compreende. Aquilo que é duro cede".

Para não perder a última luz do dia
O garoto tangeu o boi
E os três já iam desaparecendo atrás de um pinheiro
Quando algo entrou em movimento no nosso homem

E ele gritou "Ei, você! Espera!
O que acontece com essa água, velho?"
O velho parou. "Te interessa?"
Disse o homem "Sou apenas um empregado
Mas como alguém vence alguém
Isto também me interessa
Se sabe, então fala".

Escreve para mim. Deixe ditado para esta criança!
Algo assim não se leva consigo
Aqui tem papel e tinta
E também uma refeição: moro ali.
Então, aceita?

Por sobre o ombro o velho olhou
O homem: casaco remendado, sem sapatos.
A testa uma única ruga.
Não, não era um vencedor quem aqui se aproximava.
E murmurou: "Também você?".

Para negar um pedido assim gentil
O velho já era velho demais
E disse: "Aqueles que perguntam
Merecem resposta". Disse o garoto "Está ficando frio"
"Está bem, uma pequena parada"

E o sábio desceu do boi
Durante sete dias eles ficaram escrevendo
E o aduaneiro trazia o alimento (e
só xingava baixinho os contrabandistas
durante esse tempo)
E então, ficou pronto?

E o garoto entregou ao aduaneiro
Numa certa manhã oitenta e um ditados
E agradecendo as dádivas para a viagem
Viraram por traz daquele pinheiro nas rochas.
Digam agora: é possível ser mais gentil?

Mas não louvemos apenas o sábio
Cujo nome está escrito no livro!
Pois é preciso arrancar a sabedoria do sábio
Por isso seja também o aduaneiro louvado.
Ele a exigiu.

Brecht costumava se definir como um professor. Alguns autores o colocam entre os maiores poetas de seu tempo na Alemanha (entre eles Kurt Tucholsky e Hannah Arendt)[2].

A poesia "Lenda da criação do livro do TAOTEKING no caminho de LAOTSE para a emigração" foi escrita por Brecht no exílio na Dinamarca (Svendborg), em 1937. O interesse do escritor pelo legendário Laotse que teria produzido o TAOTEKING (séc. 6 a.C.) aparece no começo dos anos 20. Brecht conheceu a obra através da tradução de Richard Wilhelm. Em 1948 a "Lenda da criação do livro do TAOTEKING no caminho de LAOTSE para a emigração" foi incluída nas *Histórias de Calendário* (*Kalendergeschichten*).

O velho professor, o sábio, é para Brecht tão importante quanto o aduaneiro, o homem do povo; cada um exercendo sua função, mas participando do coletivo. O velho professor aceita transmitir seus ensinamentos, dos quais vai usufruir toda a comunidade. O homem do povo, ignorante, que certamente não poderia escrever um livro, contribui à sua maneira para a concretização do conhecimento. Este tema é recorrente na lírica de Brecht: por exemplo, no poema "Perguntas de um trabalhador que lê" ("Fragen eines lesenden Arbeiters").

O aduaneiro é o agente desencadeador do processo: "Por isso seja também o aduaneiro louvado. Ele a exigiu".

A linguagem usada por Brecht neste poema é gestual. O professor, ao aceitar transmitir seus conhecimentos, mostra o "gestus" de ensinar. Para ele, o homem que ali estava também era um lutador:

> Por sobre o ombro o velho olhou
> O homem: casaco remendado, sem sapatos.
> A testa uma única ruga.
> Não era um vencedor quem aqui se aproximava
> E murmurou: 'Também você?'

O "gestus" do aduaneiro se manifesta através de sua atitude. Ele está em busca do conhecimento, quer participar da História e se interessa em saber das coisas:

> Disse o homem: 'Sou apenas um aduaneiro
> Mas como alguém vence alguém, isto também me interessa'.

Segundo Jan Knopf esta pergunta "Wer-Wen" aponta para a questão colocada por Lenin cujo significado é a decisão na luta de classes entre a burguesia e o proletariado, e também de forma bem concreta: "quem trabalha para quem?" e "quem sofre por quem?" onde o sujeito da História é o trabalhador ignorado pela historiografia burguesa[(3)].

Turandot

Segundo Beltolt Brecht, o livro que mais o teria influenciado seria a Bíblia, mais precisamente a tradução de Lutero, o qual, segundo Willi Bolle, faz uso de uma "linguagem gestual": "No ensaio "Sobre poesia sem rimas com ritmos irregulares" (1939), Brecht explica a elaboração de uma nova técnica de linguagem, tanto do verso, quanto da prosa, que ele chama gestual. Isto significa que a expressão verbal deve impregnar-se inteiramente do "gestus" da pessoa que fala. Assim, a frase bíblica "Arranca o olho que te aborrece" pode ser expressa com maior força gestual da seguinte maneira: "Se teu olho te aborrecer, arranca-o!". De fato, Lutero, tradutor da Bíblia para o Alemão e empenhado em captar os fatos lingüísticos "na boca do povo", optou por esta formulação" [(4)]. No romance *Turandot*, o camponês A SHA SEN faz uso desta linguagem gestual. Tendo trazido todo o algodão que produzira para vender na cidade grande e poder entrar para a escola dos TUIS,[1] ele, a princípio, não consegue realizar seu grande sonho, pois toda a sua

---

[1] Reorganização de três sílabas da palavra "intellektuell": Tellekt - uell - in, das quais foram aproveitadas as iniciais TUI.

produção é confiscada pelos órgãos do estado e ele não tem o dinheiro para pagar a escola. Entretanto, graças a uma benfeitora anônima, SEN recebe uma bolsa de estudos, que lhe permitirá se tornar um TUI. Ao longo de todo o romance, SEN observa as pessoas a seu redor e suas atitudes. "A atitude, em Brecht, significa mais do que um estado corporal. Ela expressa, enquanto produto de ações sociais, uma relação – é uma forma determinada através da qual alguém (ou um grupo) se confronta com o ambiente social" [5]. SEN diz a seu neto, Eh Feh, após refletir sobre a atitude dos TUIS e dos poderosos (note-se a unidade entre gesto e palavra):

> SEN: Escute Eh Feh, eu já terminei minhas reflexões. Amarre-me os sapatos. As idéias que aqui se compram fedem. No campo reina injustiça e na escola Tui se aprende porque tem que ser assim. É verdade, aqui constroem-se pontes de ferro sobre os rios mais largos. Mas por cima passam os poderosos em direção à preguiça, e os pobres andam por ela para a servidão. É verdade, existe uma terapêutica. Mas uns são tratados para fazerem injustiça, os outros para trabalharem para os primeiros."

> ("SEN: Eh FEH, ich bin fertig mit dem Nachdenken. Gürte mir die Schuhe. Die Gedanken, die man hier kauft, stinken. Im Land herrscht Unrecht, und in der Tuischule lernt man, warum es so sein muß. Es ist wahr, man baut hier steinerne Brücken über die breitesten Flüsse. Aber darüber fahren die Mächtigen in die Faulheit, und die Armen wandern über sie in die Knechtschaft. Es ist wahr, es gibt eine Heilkunst. Aber die einen werden dazu geheilt, Unrecht zu tun, und die anderen, für sie zu schuften.") [6].

O fundamento da fala de SEN se insere também na tradição chinesa de educação, através da investigação e de uma tomada de posição após a reflexão:

> O TUI GU: O senhor não gostaria de se matricular?
> SEN: Talvez eu já tenha aprendido a maior parte do que há para ser aprendido aqui. Estou pensando naquele Kai Ho, aquele agitador, velhaco, que desrespeitava a mãe, que quer promover a distribuição de terras. Vamos Eh-Feh? (Sen sai com o neto)"

> ("O TUI GU: Wollen Sie denn nicht einschreiben lassen?
> SEN: Vielleicht habe ich hier schon das meiste gelernt, was es
> gibt. Ich denke an diesen Kai Ho, diesen Hetzer, Lump,
> Mutterschänder, der den Boden aufteilen will, Eh-Feh, (ab mit
> dem Knaben.") [7].

O processo da aprendizagem é para Brecht uma via de mão dupla, um ato de prazer e uma tentativa de resgatar a esperança. Esta atitude otimista está na reação de SEN quando procura a escola TUI:

> O TUI GU: A propósito, eu ainda não lhe perguntei porque você quer estudar?
> SEN: Que grande divertimento é o pensar! E é preciso aprender a se divertir. Mas talvez eu devesse dizer: é tão útil."
>
> ("O TUI GU: Ich habe dich übrigens noch nicht gefragt, warum du studieren willst.
> SEN: Denken ist ein solches Vergnügen. Und Vergnügen muß man ja lernen. Aber vielleicht sollte ich sagen: es ist so nützlich.") [8].

O sentido educativo está na percepção do outro, na intuição da outra perspectiva. Nesse sentido, Brecht apresenta no *Turandot* a convivência de duas realidades, formando um contraponto. Ao lado do camponês SEN, ingênuo, bem intencionado, em busca do prazer do conhecimento, estão os TUIS. Brecht leva o leitor à construção de uma consciência para se interrogar sobre a situação. Vale observar a recomendação do TUI NU-SHAN sobre as formulações (idéias ou opiniões emitidas pelos TUIS e vendidas no mercado):

> Os senhores podem fazer o que quiserem, mas formulem as coisas de maneira decente. (Tun Sie was Sie wollen, aber formulieren Sie es anständig.) [9].

Outras situações no *Turandot* ajudam a percepção do pensamento dos TUIS: Durante a aula de retórica, o aluno SHI-MEH pergunta ao mestre TUI:

SHI-MEH: Senhor Nu-Shan, o senhor acredita que eu tenho chance? Eu não fui muito bem na disciplina 'Disfarçar' e fui o 17º na 'Arte de Bajular'...".

("SHI-MEH: Herr Nu-Shan, meinen Sie, ich habe eine Aussicht? Ich war nicht gut im Bemänteln und an 17. Stelle im künstlerischen Speichellecken...") [10].

O diálogo entre SEN e o TUI GU também aponta para os valores éticos dos TUIS:

SEN: Então ele será preso, porque ele mentiu!
GU: Não porque ele mentiu, mas porque ele mentiu mal. Você ainda tem muito que aprender, Velho."

("SEN: So wird er verhaftet, weil er gelogen hat!
GU: Nicht weil er gelogen hat, sondern weil er schlecht gelogen hat. Du hast noch viel zu lernen, Alter.") [11].

O malfeitor Gogher Goh encontra a solução para o problema do imperador (devido à monopolização do algodão por seu irmão Jau Jel, o país está à beira de uma revolução – o imperador tenta enganar o povo, convocando o congresso dos branqueadores que tem por finalidade inventar uma explicação convincente para o desaparecimento do algodão): "Em poucas palavras, não temos muito tempo, o senhor não deve responder a questão sobre o algodão e sim mandar proibi-la." ("Sie müssen, kurz gesagt, lange Zeit haben wir nicht, die Frage nach der Baumwolle nicht beantworten, sondern verbieten lassen.") [12]. Como prêmio, Gogher Goh deveria receber a mão da princesa Turandot. Porém, o final da história apresenta um vencedor: o povo que, ao lado de seu líder, o revolucionário Kai-Ho, invade o templo e expulsa dali seus opressores, impedindo que se realize o casamento entre Turandot e Gogher-Goh.

As Histórias do Sr. Keuner

Escritas ao longo de 30 anos – a primeira, "Sr. Keuner e os jornais" ("Herr Keuner und die Zeitungen"), em 1926, e a última, "O Sr. Keuner e os exercícios livres" ("Herr Keuner und Freiübungen"), em 1956 – as

histórias trazem na figura do Sr. Keuner o marxista Brecht. As primeiras onze histórias foram publicadas em 1930 no primeiro caderno de *Ensaios* (Versuche), seguidas de nove outras no quinto caderno de Ensaios em 1932. Até a época do exílio foram publicadas 20 histórias. Contudo, nesta época, Brecht escreveu várias histórias, que só vieram a ser publicadas postumamente. Em 1948, trinta e nove histórias saíram em Histórias de Calendário (Kalendergeschichten), escritas no período de 1926 a 1948.

A figura do Sr. Keuner surge paralelamente à figura do egoísta Johann Fatzer, que por sua vez está ligado às peças didáticas *A Decisão (Die Maßnahme)* e *O malvado Baal, o associal (Der böse Baal der asoziale)*. Segundo Elizabeth Hauptmann [13] as figuras de Fatzer e Sr. Keuner estão juntas desde o princípio de sua concepção, e Reiner Steinweg esclarece que na pasta do arquivo de Brecht número 433 estão juntos trechos de *O Vôo de Lindbergh (Flug der Lindberghs)*, *A peça didática de Baden-Baden sobre o acordo (Badener Lehrstück)*, *Fatzer e Histórias do Sr. Keuner (Keuner-Geschichten)* [14].

Brecht precisava de um "pensador" que fizesse os comentários das parábolas entre os textos, como aparece na *Peça didática de Baden-Baden sobre o acordo* e como estava previsto para o *Fatzer*. Sua função seria esclarecer o que acontecia no teatro. O pensador ficaria assentado numa cadeira e teria: "uma postura inquisidora e sábia" ("eine unbelastigte, forschende und wissende Haltung") [15]. As figuras de Fatzer e Sr. Keuner foram separadas em torno de 1930, quando Brecht publica as *Histórias do Sr. Keuner* no primeiro caderno dos *Ensaios*.

A figura do Sr. Keuner é menos importante para Brecht do que sua função comunicativa. O leitor toma conhecimento de poucos detalhes sobre sua pessoa. Ele tem o atributo do pensador e faz o papel do professor, possui alguns amigos, mora de aluguel e, por conseguinte, não tem "status" de burguês; tem um filho, uma pequena sobrinha, e mais tarde uma namorada que é artista. A sua atitude é tão importante quanto aquilo que diz. Ele não é um professor no sentido de "mestre

escolar". Como argumentador, ele é a personificação de uma dissuasão dialético-materialista; é um catalisador de processos de discurso, nos quais a consciência é modificada pelas condições da convivência humana.

O garoto Indefeso

Rua na periferia da cidade

Diante dos cartazes de propaganda de um cinema obscuro, Baal encontra, acompanhado de Lupu, um garotinho que está soluçando.

BAAL: Por que está chorando?

GAROTO: Eu tinha duas moedas para ir ao cinema, aí veio um menino e me arrancou uma delas. Foi este aí. (Ele mostra.)

BAAL: (para Lupu) Isto é roubo. Como o roubo não aconteceu por voracidade, não é roubo motivado pela fome. Como parece ter acontecido por um bilhete de cinema, é roubo visual. Ainda assim: roubo.
          Você não gritou por socorro?

GAROTO: Gritei.

BAAL: (a Lupu) O grito por socorro, expressão do sentimento de solidariedade humana, mais conhecido ou assim chamado, grito de morte.
          (Acariciando-o.) Ninguém ouviu você?

GAROTO: Não.

BAAL: (para Lupu) Então tire-lhe também a outra moeda. (Lupu tira a outra moeda do garoto e os dois seguem despreocupadamente o seu caminho).
          (para Lupu) O desenlace comum de todos os apelos dos fracos.[16]

A história "O garoto indefeso" ("Der hilflose Knabe") surpreende o leitor, na medida em que não se espera de Baal/Sr. Keuner uma reação tão pouco humana em relação ao garoto que havia sido roubado pelo rapaz. A não-identificação, o estranhamento se impõe perante a atitude do Sr. Keuner. "O que merece ser imitado não é a maneira concreta de agir do Sr. Keuner, porém a sua atitude" [17]. O indivíduo capaz de ações políticas (que Herr Keuner, juntamente com Fatzer e Baal, personifica) não tem,

segundo Walter Benjamin, características resultantes de "amabilidade, amor ao próximo, idealismo, nobreza e outros... Não a postura ética: o homem não se torna melhor; mas a social" ("Menschenfreundlichkeit, Nächstenliebe, Idealismus, Edelmut oder ähnlichen... Nicht die ethische: der Mann wird nicht besser; aber die soziale" [18].

Brecht afirma, a respeito do Sr. Keuner:

> Todos os vícios são bons para alguma coisa
> Só não o é o homem, diz ele, que os pratica."
>
> ("Alle Laster sind zu etwas gut
> Nur der Mann nicht, sagt er, der sie tut.") [19]

Para que é bom o vício? Para fazer o homem refletir, levantar questões, se posicionar diante dos fatos, dos pressupostos, se tornar, enfim, um revolucionário.

Compromissos com o Ensinar/Aprender

"A teoria de ensino/aprendizagem de Brecht é uma pedagogia dialética que combina elementos indutivos e dedutivos na aprendizagem, colocando à nossa disposição um método de exame e ação sobre a realidade social." [20]

Enquanto produtor artístico, Brecht foi sobretudo um pedagogo, para quem, no entanto: "o único princípio que nunca ferimos foi o de submeter todos os princípios à tarefa social que tínhamos por objetivo cumprir em toda obra" [21]

Embora os textos-base deste trabalho tenham sido escolhidos entre obras de Brecht de diferentes gêneros literários, produzidos em diferentes épocas de sua vida, está evidente que todo o seu trabalho foi definitivamente marcado pela atenção ao ensinar e aprender, buscando fazer destes processos um ato de prazer e incutir-lhes uma atitude otimista e revolucionária, voltada para um compromisso com o coletivo.

Notas Bibliográficas

Os textos de Brecht nos quais o presente trabalho se baseia encontram-se nos *Gesammelte Werke in 20. Bänden* (GW) editados pela Suhrkamp em 1967. Os outros textos de Brecht obedecem aos critérios usuais de referência bibliográfica.

(1) Brecht, "Lenda da criação do livro do TAOTEKING no caminho de LAOTSE para a emigração". In: *Große kommentierte Berliner und Frankfurter Ausgabe, Gedichte 2.* Suhrkamp Verlag, Frankfurt, 1988. p.34. Tradução de Ingrid Dormien Koudela ainda não publicada.

(2) Jan Knopf. *Brecht Handbuch, Lyrik, Prosa, Schriften.* J.B. Metzler, Ungekürzte Sonderausgabe, Stuttgart, 1986, p.10.

(3) Jan Knopf, op. cit., p.120.

(4) Willi Bolle. "A linguagem gestual no teatro de Brecht". In: *Revista Língua e Literatura*, n.5, São Paulo, FFLCH/USP, 1976, p.393.

(5) Ingrid Dormien Koudela. *Brecht: um jogo de aprendizagem.* Editora Perspectiva, Edusp, São Paulo, 1991. p.102.

(6) Brecht, op. cit. vol.5, p.2264.

(7) Brecht, op. cit., vol.5, p.2216.

(8) Brecht, op. cit., vol.5, p.2212.

(9) Brecht, op. cit., vol.5, p.2198.

(10) Brecht, op. cit., vol.5, pp.2213-2214.

(11) Brecht, op. cit., vol.5, p.2224.

(12) Brecht, op. cit., vol.5, p.2243.

(13) Knopf, op. cit., p.312.

(14) Reiner Steinweg, *Brechts Modell der Lehrstücke, Zeugnisse, Erfahrungen, Diskussion.* Frankfurt, Suhrkamp, 1976, p.316.

(15) Knopf, op. cit., p.313.

(16) Brecht, "O garoto indefeso". In: Ingrid Koudela. op. cit., pp.34-35.

(17) Ingrid Koudela, op. cit., p.35.

(18) Walter Benjamin, op. cit., p.12.

(19) Brecht apud Benjamin, op. cit., p.12.

(20) Ingrid Koudela, "Aprender com Bertolt Brecht. Experimento de inovação da peça didática". (ainda não publicado)

(21) Reiner Steinweg, *Brechts Modell der Lehrstücke, Zeugnisse, Erfahrungen, Diskussion*. Frankfurt, Suhrkamp, 1976, p.316.

Nota da Tradução:

A tradução dos textos foi realizada a partir de:
BRECHT, Bertolt. *Gesammelte Werke in 20. Bänden*. Frankfurt, Suhrkamp Verlag, 1967.

Referências Bibliográficas

Obras de Brecht

BRECHT, Bertolt. *Gesammelte Werke in 20. Bänden*. Suhrkamp Verlag, Frankfurt, 1967.

BRECHT, Bertolt. *Große kommentierte Berliner und Frankfurter Ausgabe*, "Gedichte 2", Suhrkamp Verlag, Frankfurt, 1988.

BRECHT, Bertolt. *Schriften zum Theater*, einmalige Sonderausgabe. Suhrkamp Verlag, Frankfurt, 1961.

Referências Bibliográficas Secundárias

BENJAMIN, Walter. *Versuche über Brecht*. Edition Suhrkamp, Frankfurt, 1978.

BOLLE, Willi. "A Linguagem Gestual no Teatro de Brecht". In: *Revista de Língua e Literatura*, nº 5, São Paulo, Faculdade de Filosofia, Ciências e Letras, USP, 1976.

KNOPF, Jan. *Brecht Handbuch*; Lyrik, Prosa, Schriften, J.B. Metzlersche Verlagsbuchhandlung, Tübingen, 1986.

KOUDELA, Ingrid Dormien. *Brecht: Um Jogo de Aprendizagem*. Editora Perspectiva/Edusp, São Paulo, 1991.

MAYER, Hans. *Bertolt Brecht und die Tradition*. Neske, Pfullingen, 1961.