REVISTA DE ESTUDOS GERMÂNICOS

ESTUDOS GERMÂNICOS

N° 1 — LITERATURA

N° 2 — LINGUA

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SUMÁRIO

APRESENTAÇÃO

O volume oitavo da *Estudos germânicos* traz várias mudanças. A destacar, sua divisão em dois fascículos; um cobrindo a área de literatura, e o outro publicando artigos sobre língua.

Este fascículo abre-se com uma série de artigos sobre tradução. É abordada, inicialmente, a correspondência semântica entre os tempos perfeitos e imperfeitos em português, inglês e alemão, evidenciando a importância dos estudos teóricos para a tradução. Em seguida, uma comparação das diferenças de estilo entre um tradutor mais "teórico" e outro mais "criativo" exemplifica a divisão existente na prática tradutória, apontando as vantagens e os perigos de cada posição. Para finalizar, trazemos uma abordagem de erros que ocorrem em versões do português para o inglês quando feitas por alunos brasileiros.

A necessidade de uma postura ideológica mais consciente no ensino de línguas é levantada em dois artigos que questionam o papel do professor e sua responsabilidade como educador, e a auto-imagem histórica dos povos desenvolvidos e subdesenvolvidos.

Para fechar este fascículo, tomamos duas orientações que se equilibram: uma, teórica, dada por uma análise contrastiva entre o idioleto de um nova-iorquino e o idioleto de Nova Iorque; a outra, pragmática, representada por sugestões de uso de jornais e revistas em sala de aula.

Esperando que as mudanças tenham sido para melhor, anunciamos que o próximo número terá como tema Texto e Discurso (1988).

O EDITOR

A MICRO-UNIT IN TRANSLATION PEDAGOGY

Uma Micro-Unidade na Pedagogia da Tradução

Eine Mikro-Einheit in der Pädagogik der Übersetzung

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SUMMARY

In this text there is a discussion about materials needed for teaching translation at university level. Our case study is the translation of the English Present Perfect. The semantics of verbal tenses both in English and Portuguese is dealt with so as to allow us to make some claims about how one should tackle the problem of translating the perfect tenses to express the rhetorical function of reporting past literature in academic language.

RESUMO

Neste texto discutimos alguns materiais para o ensino de tradução a nível universitário. Exemplificamos com a tradução do «Present Perfect». A semântica dos tempos verbais em inglês e português é examinada de modo a nos permitir sugerir algumas formas de abordar o problema de traduzir os «perfect tenses» para expressar a função retórica de relatar o que já foi feito no passado, na área da literatura acadêmica em questão.

1. INTRODUCTION

This paper aims at making a contribution to the discussion about materials needed for teaching translation at university level. In Brazil it is not uncommon for technical books to be translated by non-professional translators (as, for example, when medical books are translated by medical staff, either resident doctors or teaching assistants in universities). It is to meet demands of this kind of personnel that introductory linguistic materials, such as the one exemplified in this paper, are designed. They rely, if we may say so, on a program of 'sensitization' to linguistic approaches, from which prospective translators may benefit.

Our case study is the translation of the English Present Perfect into Portuguese equivalent tenses. Due to some differences in the two language systems, it seems natural to have certain general characteristics of the translation of this tense deliberately pointed out to students as part of a necessary linguistic feedback, so that they can feel more comfortable about their work. We have, however, no intention of exhausting all contexts and possibilities of translating the Present Perfect. Only a specific context was aimed at, namely, the Present Perfect with the rhetorical function of reporting past literature in academic language (see Oster, 1981) (examples in sentences (1) and (2) ahead). Thus, this is a proposal for a methodological approach which may be further expanded and applied to the study of the translation of other items in the language.

2. REPORTING PAST LITERATURE: A RHETORICAL FUNCTION

2.1 Syntactic Paterns in the Source Language

Oster (1981) examines two articles from the magazine *Chemical Engineering Science*, focusing on the use of verbal tenses to express the rhetorical function of reporting past literature in academic language (other rhetorical functions would be, for example, giving directives, exemplifying). In her data, the Present Perfect, when used to report past literature, shows up in two types of sentences, one type 'active' and another 'passive', as in the following examples:[1]

(1) 'Gelperin et al. *have concluded* that...' (p. 80)

(2) 'oscillations *have been observed* in recent studies (p. 78)

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Taking up her findings, I set out to do some more research on this topic and, interestingly, I saw the same type of Present Perfect being used to report past literature (PPRPL) in two other texts: *General Urology* (Smith, 1975) and *Treatment of Shock* (Schumer, 1974). From the first book, I have examined the initial 133 occurrences of the Present Perfect, having found 41 occurrences of PPRPL. From the second one, I have examined the initial 140 occurrences of the Present Perfect. Here, I have found 58 occurrences of PPRPL. With the help of this sample, small as it may appear, I have ventured into the study of some facts related to the choice of verb tense and the related topic of word order. This choice becomes evident when we compare the English texts mentioned above with their translations in Portuguese. As my objective is not the one of drawing statistically valid conclusions from the data, but that of proposing a pedagogic micro-unit for the teaching of translation, I feel comfortable about using the data only as a source for ideas.

Two types of sentences with PPRPL show up when one examines Oster's data. These also showed up in my data. To those two types can be added another which did not show up in the articles examined by Oster but did so in my data. As in the sentence

(3) 'it *has been shown* that fibrogen is produced very rapidly'

It may be helpful to represent the sentences diagrammatically in the following three patterns (which correspond to sentences (1), (2) and (3), respectively):

(Active sentence) —

Passive sentence —
with nominal
subject)

(Passive sentence —
with sentential
subject)

I   Subject HAVE   -en   (that) Object

II Subject HAVE BEEN   -en

III it   HAS BEEN   -en   (that) Subject

(where *-en* is the past participle of the main verb in the clause)

2.2 *A Micro-Unit for Teaching Translation*

If I am not wrong in assuming that the translation of the Present Perfect so considered will make a good micro-unit for the teaching of translation, the presentation of those three patterns to students through examples can function as step one. The class should be able to see them as elements used in situations where the Present Perfect is used with the rhetorical function of reporting past literature. They should also be able to produce them, when required to do so by the teacher. However, at all times, it must be evident to students that other verb tenses can also be used to report past literature in academic English, as in

(4) Hugo and Jacubith *suggested* that...

(5) a complete description *is* .... *given* by Simpson

Thus, the micro-unit proposed here could be part of a larger unit which would deal with the translation of the rhetorical function of reporting past literature, to be seen also with other tenses besides the Present Perfect. It is a question of working up to details, by gradually increasing the field of analysis.

3. ENGLISH-PORTUGUESE CONTRASTIVE ANALYSIS

3.1 *Semantics of the English Present Perfect and of the Portuguese Compound Present*

If we move on to the actual comparison of the two language systems, we see that there is only a partial *semantic* correspondence between the English Present Perfect and its corresponding Portuguese Compound Present, although there is a total *formal* correspondence:

(6) E: I *have worked* ...

    P: Eu *tenho trabalhado*...

To further explore this semantic difference, some nuances of meaning which can accompany the Present Perfect must be studied. Dubois (1972) sees three such nuances as possible secondary meanings to the Present Perfect : *Single event*: 'I have read a book' ; *iterative*: 'I have read this book twice; *continuative*: 'I have lived here since 1970' (For our purpose, the crutial distinction will be the one between *single event* and *iterative/continuative*.[2] Now, the meaning of both English Present Perfect and Portuguese Compound Present may coincide when there is an iterative or continuative meaning in the clause where the Present Perfect is the main verb, as in

(7) E: I *have worked* a lot lately

    P: Eu *tenho trabalhado* muito ultimamente

However, when the Present Perfect and other elements in the clause carry the nuance of a single event meaning, there is no possibility of translating the Present Perfect as a Compound Present in Portuguese:

(8) E: I *have bought* a car

P: * Eu *tenho comprado* um carro

Instead, the Simple Past must be used in Portuguese:

P: Eu *comprei* um carro

The use of adverbs such as, eg., *for several years* can give to sentences with the Present Perfect an iterative/habitual maning:

(9) E: He *has driven* a taxi for several years
P: Ele *tem dirigido* um taxi há vários anos

Portuguese, in this aspect, may be seen as having taken a more conservative pathway, if contrasted to other Romance languages. French and Spanish, for example, have extended the uses of the compound form, so as to have them even for the single event meaning. As seen above, this is not possible in Portuguese.

Still in our quest for a good presentation of materials for prospective translators, we would want students to become acquainted with a description of meanings associated with verb tenses and with a contrastive analysis of the type outlined above. This, for them, would be step two.

3.2 *The Target Language: Syntatic Patterns in Portuguese*

To go on with our study, it is now the time for us to look into the translations of the two texts I mentioned in the beginning: *General Urology* and *Treatment of Shock*, published in Portuguese as *Urologia Geral* and *Tratamento de Choque*, respectively. They are examples of a good job done by non-professional translators and, as such, may be models for others hoping to do a similar job. The three syntactic patterns discovered to occur with the Present Perfect in the rhetorical function of reporting past literature will now be seen both in the English original and in their Portuguese translations. As for Pattern I (see 2.1), which twpically shows up as having the single event meaning, the choice of tense in the translation does not present any major problems:

E: Subject HAVE { observed / shown / described / indicated , , , } (that)

P: Subject { observou / mostrou / descreveu / indicou , , , } (que)

For the texts examined, the English Present Perfect has been transladed mostly as Portuguese Simple Past:

(10) E: 'Gant and others *have described* the concentration...'

P: 'Gant e outros *descreveram* a concentração...'

3.3 *Discourse and Pragmatic Factors*

In some cases, the presence of discourse and pragmatic factors can modify the picture outlined above. Thus, the presence of a verb in the Simple Present in the sentence immediately preceding the Present Perfect to be translated seems to allow for this Present Perfect to be translated as Portuguese

Simple Present, as in

(11) E: 'Cartillage defects in a point *invite* intra-articular adhesions. Salter and associates *have shown* that continuous motions...'

P: 'Defeitos de cartilagem em um certo ponto *propiciam* o aparecimento de adesões intra-articulares. Salter e cols *mostram* que movimentos contínuos...'

(It is interesting to notice that one could have used the Simple Present instead of the Present Perfect in the second sentence.) The choice between Portuguese Simple Present or Simple Past in this context is then a question of personal style.

Some sentences in Pattern I will allow only a semantic interpretation of the single event type and, consequently, no Portuguese Compound Present can be used in the translation, as in the example:

(12) E: 'Bright and associates (1971) *have noted* this in rats'

P: 'Bright e cols *notaram* isto em ratos'

In this example, pragmatic reasons (the fact that Bright and associates have published their report at one time, in a single event) make it impossible for an iterative interpretation to be given to the English Present Perfect. Thus, in the Portuguese translation, the Compound Present (*tem notado*) is not allowed.

Considerations such as the ones we have been making exemplify step three: the presentation of the possibilities for the translation of a specific instance of Present Perfect and the determination of which one is the best, based on linguistic factors (eg, the presence of adverbs) or on pragmatic factors (as the one seen above).

The same procedures will be valid for Patterns II and III. As for Pattern II, the following configuration was obtained (see examples below):

E: Subject HAVE BEEN {reported / demonstrated / shown / , / ,}

P: (Subject) {tem sido / foi} {relatado / demonstrado / apresentado / , / ,} (subject)

(Subject either in first or in end position)

tem-se {relatado / demonstrado / apresentado / , / , / ,} Object

What was previously said about tense choice also applies here. Translator's use of Portuguese Simple Past Passive (as in *foi relatado* or of Compound Present Passive (as in *tem sido relatado*) will depend on whether he or she wants to give an iterative/continuative interpretation to the sentence or not, always depending on the presence of adverbs in the discourse or on pragmatic reasons.

3.4 *Word Order*

The relevance of word order is to be noticed in Pattern II, as the Subject in Portuguese can come either in initial or in end position. This is so when the agent in the passive voice is not explicit (most cases fall under this category). However, when the agent is explicit, subject-verb word order is maintained, as in

(13) E: This phenomenon *has been discussed* by Moose (1971)

P: Este fenômeno *foi discutido* por Moose (1971)

(Agent explicitness does not occur in the two sources I examined).

In my data, there was a tendency for subjects to come postposed in Pattern II sentences (only 2 exceptions in 28 instances). Further studies are necessary for us to verify if this reflects a stylistic preference of translators or if it corresponds to a preferred word order in Portuguese for sentences like the ones we have been talking about. Examples:

(14) E: A few deaths from gas embolism
S
have been reported ...
V

P: *Foram relatadas* algumas mortes, cau-
V   S
sadas por embolia gasosa...

(15) E: The association of papillary necrosis and cirrhosis *has been cited*
V

P: *Tem sido mencionada* a associação da
V   S
necrose papilar com a cirrose

English Passive Voice sentences can also be translated into Portuguese by *se* (for indeterminancy of subject) and active voice constructions (according to Luft (1976, p. 133), sentences with *se* of this type are active, *se* is analysed as subject) :[3]

(16) E: Every type of 'fascinoma'
S
has been associated with fractures
V

P: *Tem-se associado* todo tipo de 'fascino-
(V) S   (V)   O
mas com fraturas

(In this example, subject *se* is surrounded by auxiliary and past participle of main verb. The verb is followed by O (Object)).

As for Pattern III, we notice:

E: it HAS BEEN {suggested / shown / documented / , / , / ,} Subject

P: {tem sido / foi} {sugerido / demonstrado / documentado} Subject

{sugeriu- / documentou- / demonstrou-} se Object

Previously seen observations about tense choice and word order also apply here.

(17) E: It *has been shown that fibrogen is*
V   S
produced:

P: *Demonstrou*-se que o fibrogênio é
V   S   O
produzido...

(18) E: It *has been* well *documented* that low
(V)   (V)   S
cardiac output...

P: *Foi* bem *documentado* que o débito
(V)   (V)   S
cardiaco baixo...

For our students, this will be step four: the presentation of possible differences of word order

in the two languages and of the optional use of *se* and active voice structure in Portuguese.

4. CONCLUSION

In a way, the study presented here is programmatic. Much has to be done so that we may be able to facilitate students' understanding of the linguistic issues at stake in the translation of the Present Perfect. As a tentative approach, four steps have been proposed in composing a pedagogic micro-unit for teaching prospective translators:

1. Presentation, through the use of examples, of three syntactic patterns in which the Present Perfect used to report past literature has shown up in data examined in the present study.

2. Presentation of the basic semantics of the Present Perfect and, when relevant to the rhetorical function in question, of an English-Portuguese contrastive analysis.

3. Presentation of some optional ways of translating the Present Perfect and of some obligatory ways of doing so, based on linguistic and pragmatic factors.

4. Presentation of differences of word order in English and Portuguese and of comments or preferred word order in Portuguese.

NOTES

1 Oster does not concern herself with syntactic patterns (which I, nevertheless, extracted from her data). I only used her article as a starting point for my study.

2 Discussion of the basic meaning of the Present Perfect has attracted much attention over the years. McCoard (1978) is usually cited as the most successful reviewer of the literature about the Perfect in English. For pedagogical purposes, the analysis by Dubois will be enough, at this point.

3 More sophisticated linguistic analysis of *se* has been attempted but there is still no consensus about what a good description should say about this particle. For our purposes, Luft's hypothesis is a good starting point.

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"PRÄTERITUM" E "PERFEKT"

"Prateritum" and "Perfect"

"Präteritum" und "Perfekt"

Tarcísia M. O. RIBEIRO *

SUMÁRIO

Partindo de uma afirmação geral, segundo a qual não existe correspondência entre o «Präteritum» e o Pretérito Imperfeito do Indicativo e nem entre o «Perfekt» e o Pretérito Perfeito do Indicativo, analiso, neste trabalho, o significado e emprego destes dois tempos verbais do Alemão, apontando alguns traços semânticos que possibilitam uma aproximação entre estes dois tempos verbais do Alemão e os Pretéritos Imperfeito e Perfeito do Indicativo do Português (parte I).

Através das regras estabelecidas para tal aproximação, passo a um estudo de sua aplicabilidade em sala de aula, analisando a apresentação do «Präteritum» e do «Perfekt» em dois livros didáticos de Alemão para estrangeiros (parte II a). Encerrando o trabalho, apresento um estudo da transposição do Pretérito Perfeito do Indicativo do Português para o Alemão, usando a tradução alemã de Curt Meyer-Clason do poema «Confidência do Itabirano» de Carlos Drummond de Andrade, evidenciando a relevância dos estudos teóricos, empreendidos na parte I, na área da tradução (parte II b).

RESÜMEE

Von einer didaktischen Schwierigkeit ausgehend, nach der es keine Entsprechung zwischen Präteritum und «Pretérito Imperfeito do Indicativo» und zwischen Perfekt und «Pretérito Perfeito do Indicativo» gibt, untersuche ich im theoretischen Teil dieser Arbeit die Bedeutung und den Gebrauch von Präteritum und Perfekt im Deutschen, mit dem Ziel, die zwei Vergangenheitstempora des Deutschen den erwähnten Vergangenheitstempora des Portugiesischen anzunähern (Teil I).

Anhand der festgelegten Regeln, analysiere ich die Einführung von Präteritum und Perfekt in zwei Lehrbüchern, wobei die Anwendung dieser Regeln geprüft wird (Teil II a). Zum Abschluss wird die Übersetzung eines Gedichts vom Portugiesischen ins Deutsche analysiert («Vertraulichkeiten eines Itabiraners» von Carlos Drummond de Andrade; Übersetzung von Curt Meyer-Clason), wobei auf die Relevanz der theoretischen Untersuchungen im Teil I auch im Bereich der Übersetzung hingewiesen wird.

SUMMARY

Starting with the general statement that there is no correspondence between the «Präteritum» and the «Pretérito imperfeito do indicativo» nor between the «Perfekt» and the «Pretérito perfeito do indicativo», I analyse, in this paper, the meaning and the usage of these two verbal tenses of German, pointing out some semantic characteristics which make it possible to approximate these two German verbal tenses to the Portuguese «Pretérito imperfeito» and «Perfeito do indicativo"(part I).

With the rules established for such an approximation in mind, I move to a study of their applicability in the class-

room, analysing the presentation of «Präteritum» and «Perfekt» in two textbooks of German as a foreign language (part II a). As a conclusion to this paper, I present an analysis of the transposition of «Pretérito perfeito do indicativo» from Portuguese to German, using Curt Meyer-Clason's translation of Carlos Drummond de Andrade's poem «Confidência do Itabirano» to demonstrate the importance of the theoretical studies referred to in part I to translation work (part II b).

I — "PRÄTERITUM" E "PERFEKT" EM ALEMÃO. ANÁLISE DO SEU SIGNIFICADO E EMPREGO

Um estudo do significado e emprego destes dois tempos verbais do Alemão, com aplicação nas áreas de didática e de tradução do Português para o Alemão.

A necessidade de um estudo sobre as características que distinguem estes dois tempos verbais dentro do Alemão justifica-se pela dificuldade didática em apresentar sua diferenciação para falantes do Português, por não haver uma correspondência perfeita entre o emprego do "Präteritum" e do Pretérito Imperfeito do Indicativo (v. Eliana Amarante de Mendonça Mendes) e nem entre o emprego do "Perfekt" e do Pretérito Perfeito do Indicativo. Assim, ao emprego do "Präteritum", único tempo simples do passado em Alemão, pode corresponder em Português tanto o emprego do Pretérito Imperfeito quanto do Pretérito Perfeito do Indicativo, ocorrendo o mesmo com o emprego do "Perfekt". Alguns exemplos ilustrativos: "Als ich vor fünf Jahren in Brasilien *ankam, fand* ich alles ganz anders." Neste exemplo, usa-se em Português o Pretérito Perfeito do Indicativo pelo "Präteritum": "Quando *cheguei* ao Brasil há cinco anos, *achei* tudo muito diferente." Num outro exemplo, usa-se o Pretérito Imperfeito do Indicativo pelo "Präteritum" e o Pretérito Perfeito do Indicativo pelo "Perfekt": "Als wir im Park *spazierengingen, hat* es ununterchen *geregnet.*" = "Enquanto *passeávamos* no parque, *choveu* ininterruptamente."

Tendo determinado a dificuldade didática com que se defronta o professor de Alemão, passo a expor o conhecimento teórico sobre estes dois tempos verbais do Alemão, necessário quando se tem como finalidade básica estabelecer regras mais gerais que determinem com maior clareza o emprego de um ou outro em Alemão.

Gostaria de denominar este conhecimento teórico de "gramática no sentido lato", uma vez que a bibliografia consultada abrange obras escritas dentro de diferentes correntes lingüísticas e visto que pretendo aplicar este conhecimento teórico a duas áreas.

Resumo aqui o exposto nas gramáticas consultadas sobre a disposição dos seis tempos verbais do Alemão na dimensão 'tempo':

MOMENTO EM QUE SE FALA (REDEMOMENT)		
'Passado'	'Presente'	'Futuro'
«Präteritum»	«Präsens»	«Futur I»
«Perfekt»		«Futur II»
«Plusquamperfekt»		

Sem poder entrar aqui em detalhes sobre dificuldades ainda mais específicas do falante de Português, ao passar de um sistema verbal mais complexo para outro aparentemente menos complexo, devido à quantidade de tempos verbais existentes (não faço referência, neste trabalho, aos tempos compostos do passado, em Português), passo a analisar os tempos verbais do passado em Alemão ("Präteritum", "Perfekt", "Plusquamperfekt") e as características que os distinguem, estabelecidas nas gramáticas e obras consultadas.

A diferença entre o "Plusquamperfekt" e os outros dois tempos do passado em Alemão está no fato de este tempo verbal exprimir sempre 'tempo passado' em relação a outro 'tempo passado': "Als ich *ankam, warst* du schon *weggegangen.*" = 'Quando eu cheguei, você já *havia saído / saíra.*"

Existindo, portanto, uma correspondência entre significado e emprego do "Plusquamperfekt" e do Pretérito Mais-que-perfeito do Indicativo, passo a analisar somente as características que distinguem o "Präteritum" do "Perfekt". Com esta análise pretendo evidenciar não só as características mais significativas para a diferenciação entre estes dois tempos verbais do Alemão, mas apontar também aspectos que permitam uma aproximação destes tempos verbais com os Pretéritos Imperfeito e Perfeito do Indicativo em Português.

De acordo com a bibliografia estudada, as características destes dois tempos verbais do passado são as seguintes, em Alemão:

O "Präteritum" denota o decorrer de uma ação e uma distância (distanciamento) no passado em relação ao momento em que se fala; o "Perfekt" enfoca o término de uma ação / de um estado, associando-os a outros fatos / estados do momento em que se fala.

Destas características decorrem algumas regras práticas no emprego ou do "Präteritum" ou do "Perfekt", principalmente quando um não pode ser substituído pelo outro. Segundo uma regra bem geral, "o Präteritum pode ser sempre substituído pelo Perfekt, mas o inverso não é verdadeiro."[1] Passo a explanar mais detalhadamente as regras das gramáticas consultadas, evidenciando em que situações e por quais motivos um não pode substituir o outro.

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Regra 1:

Só existe uma situação em que o "Präteritum" não pode ser substituído pelo "Perfekt", a saber "nas orações que contêm conjunções que indicam simultaneidade"[2] (*als = quando; während* = enquanto).

Regra 2:

O "Perfekt" não pode ser substituído pelo "Präteritum"

a) em orações que contenham os advérbios de tempo *schon (já)*, *schon immer* (sempre), *noch nie (nunca)*.[3]

b) "O Perfekt não pode ser substituído pelo Präteritum com verbos de mudança de estado em situações de diálogo." Dieter Wunderlich explica esta regra através da implicação contida nas orações com verbos de mudança de estado. Segundo ele, "Bettina ist eingeschlafen" (= "Bettina adormeceu") implica em 'Bettina schläft jetzt' (= 'Bettina está dormindo agora'), mas "Bettina schlief ein" (= ? = "Bettina adormecia / adormeceu") não tem como implicação 'Bettina schläft jetzt' (= 'Bettina está dormindo agora').

c) "O Perfekt não pode ser substituído pelo Präteritum, quando o Perfekt está relacionado a outro acontecimento", como em "Da steht der kleine Hans und weint, *weil* er vom Nikolaus nichts *bekommen hat*" (= "O pequeno Hans está chorando, *porque* não *ganhou* nada do Papai Noel"). Esta regra é apontada somente pela Duden Grammatik.

Através do isolamento da regra 2c, uma vez que é citada só pela Duden Grammatik, gostaria de fazer referência a outros dois conceitos abstratos de tempo verbal, que poderiam resumir estas quatro regras práticas. Trata-se de uma antiga divisão dos tempos verbais em Tempos Absolutos e Tempos Relativos.)[4] Os Tempos Absolutos ou Diretos são os que situam um acontecimento no tempo em relação direta com o momento em que se fala (Redemoment) e deste grupo fazem parte o "Präsens", o "Präteritum", o "Perfekt" e o "Futur I" (= Futuro do Presente). Os Tempos Relativos ou Indiretos são os que situam um acontecimento no tempo em relação indireta com o momento em que se fala, ou seja, associando um acontecimento ao 'momento' ('Zeitpunkt') de um outro acontecimento; deste grupo fazem parte o "Perfekt", o "Plusquamperfekt" e o "Futur II" (= "terei feito", p. ex.). O "Plusquamperfekt" (= Pretérito Mais-que-perfeito do Indicativo) é um exemplo bem evidente de Tempo Relativo, uma vez que situa fatos passados sempre em relação a outros fatos passados, nunca em relação direta com o momento em que se fala.

O "Präteritum" faz parte somente do grupo dos Tempos Absolutos, enquanto o "Perfekt" pode ser empregado tanto quanto Tempo Absoluto quanto como Tempo Relativo, segundo este esquema. Isto significa que o "Präteritum" está sempre relacionado diretamente ao 'momento em que se fala', enquanto o Perfekt tem um campo de emprego mais vasto, podendo relacionar-se também ao momento de outros acontecimentos.

Parece-me que esta antiga classificação dos tempos verbais em Absolutos e Relativos engloba as quatro regras apresentadas. No caso da regra 1, única situação em que o "Präteritum" não pode ser substituído pelo "Perfekt" (nas orações contendo conjunções de simultaneidade), trata-se do emprego do "Präteritum" como Tempo Absoluto, ou seja, indicando um 'passado' relacionado diretamente ao 'momento em que se fala', sem apresentar conseqüências e/ou associações com outros acontecimentos/estados do momento presente ("Es hat ununterbrochen geregnet, *als* wir im Park spaziereng*ingen*." = "Choveu ininterruptamente, quando/enquanto passeávamos no parque.").

As outras regras (2a, 2b, 2c) tratam de casos em que o "Perfekt" não pode ser substituído pelo "Präteritum", e tudo indica que o "Perfekt", nestes casos, é empregado como Tempo Relativo. A regra 2c, que antes parecia isolada, enquadra-se na divisão dos tempos em Relativos e Absolutos pelo seu próprio enunciado: o "Perfekt" não pode ser substituído pelo "Präteritum" quando estiver relacionado ao 'momento' de outro acontecimento ("Da steht der kleine Hans und weint, *weil* er vom Nikolaus nichts *bekommen hat*." = "O Hans está chorando, porque não ganhou nada do Papai Noel."). Esta regra 2c explicita ainda melhor o conceito de Tempo Relativo: o fato de um tempo verbal, no caso aqui, tempo do passado, estar relacionado a outros fatos/estados do momento presente. A regra 2b trata do emprego do "Perfekt" em orações contendo verbos que indicam mudança de estado; segundo Dieter Wunderlich, o uso do "Perfekt" nestes casos justifica-se devido à implicação contida nestas orações. Como já anteriormente analisado, a implicação destas orações associa estados do passado a estados do momento presente. Trata-se, portanto, do emprego do "Perfekt" como Tempo Relativo, uma vez que associa ou relaciona fatos/estados de um momento passado (*adormeceu*) a outro fato/estado do momento presente (*está dormindo*), ainda que implicitamente.

A regra 2a, segundo a qual só se usa o "Perfekt", e não o "Präteritum", em orações que contenham advérbios de tempo como *schon (já)*, *schon immer (sempre)*, *noch nie (nunca)*, parece não se encaixar na divisão dos tempos verbais aqui abordados; isto porque, juntamente com os advérbios de tempo, sobressai nestes casos à primeira vista o aspecto de 'término' ('Vollzug') de uma ação/de um estado/processo, que distingue o "Perfekt" do "Präteritum". No entanto, analisando-se mais de perto orações teste tipo, como "Sie *hat* sich *schon immer* für Politik *interessiert*" (= "Ela *sempre* se interess*ou* por política"), pode-se constatar um ponto em comum com os exemplos da regra 2b (orações contendo verbos de mudança de estado): o fato de

a implicação contida nestas orações também vincular fatos/estados de um momento passado a fatos/estados do momento presente. Quando se diz "Ela *sempre* se interess*ou* por política" ("Sie *hat* sich *schon immer* für Politik *interessiert*"), a implicação é a de que ela continua a se interessar por política no momento em que se fala. Isto não ocorre, por exemplo, em orações contendo advérbios de tempo como *früher, damals (antigamente)*, em que se usa, preferencialmente, o "Präteritum": "Früher interessierte sie sich für Politik" ("Antigamente ela se interess*ava* por política"). Pode-se, portanto, considerar o emprego do "Perfekt" nestas sentenças como seu emprego enquanto Tempo Relativo, associando fatos/estados de um momento passado a fatos/estados do momento em que se fala.

Esta análise explica de uma maneira mais geral a impossibilidade de se substituir o "Perfekt" pelo "Präteritum": nos casos estudados, o "Präteritum" não pode substituir o "Perfekt" quando este é empregado enquanto Tempo Relativo, uma vez que o "Präteritum" só se emprega enquanto Tempo Absoluto.

Quanto aos casos em que ocorre o inverso, casos em que o "Perfekt" pode substituir o "Präteritum", não os estudo detalhadamente aqui, mas acredito tratar-se de casos em que se empregue o "Perfekt" como Tempo Absoluto, mudando-se o enfoque de 'duração' (= Präteritum") de uma ação/de um estado para 'término' (= "Perfekt"; cf. os exemplos: "Früher interessierte sie sich für Politik" X "Früher *hat* sie sich für Politik *interessiert*").

Resumindo, são as seguintes as características que distinguem "Präteritum" e "Perfekt" em Alemão:

"Präteritum":

a) enfoca o decorrer (= Verlauf) de uma ação/de um estado/processo

b) denota distância de uma ação/de um estado/processo em relação ao momento em que se fala

c) não associa fatos/estados do passado a outros fatos/estados do presente

d) Tempo Absoluto (decorrência de b e c)

"Perfekt"

a') enfoca o término (= Vollzug) de uma ação/de um estado/processo no passado

b') denota aproximação de fatos/estados do passado com fatos/estados do presente, através de uma associação implícita(ou explícita)[5]

c') associa fatos/estados do passado a fatos/estados do presente

d') Tempo Relativo (decorrência de b' e c') e Tempo Absoluto (decorrência de a')

Para a diferenciação entre "Perfekt" e "Präteritum" apontaria, portanto, a distinção entre decorrer e término de uma ação/de um estado, por um lado, e a distinção entre distância e aproximação de fatos/estados do passado com fatos/estados do presente, por outro lado.

Antes de passar às aplicações deste conhecimento teórico sobre "Präteritum" e "Perfekt", gostaria de apontar algumas semelhanças entre o significado e emprego destes tempos verbais do Alemão e os pretéritos Imperfeito e Perfeito do Indicativo em Português.

Parece-me que em Português emprega-se preferencialmente o Pretérito Perfeito do Indicativo em orações contendo advérbios de tempo como *já, nunca*, casos em que se emprega o "Perfekt" em Alemão. Juntamente com o advérbio de tempo *já*, o emprego do Pretérito Perfeito do Indicativo acentua o aspecto de término/conclusão de uma ação/de um estado (aspecto perfectivo), também contido neste advérbio de tempo.[6] Com os outros advérbios de tempo (*sempre, nunca, freqüentemente*), a coincidência de emprego entre "Perfekt" e Pretérito Perfeito do Indicativo parece dever-se à implicação contida nestas orações, ao fato de tais acontecimentos/estados do passado permanecerem válidos no momento presente. Em Alemão, trata-se do emprego do "Perfekt" enquanto Tempo Relativo, devido a esta implicação, e, justamente por ser empregado como Tempo Relativo, o "Perfekt" não pode ser substituído pelo "Präteritum", que só se emprega em Alemão como Tempo Absoluto.

Por outro lado, verifica-se uma coincidência entre o emprego do Pretérito Imperfeito do Indicativo e do "Präteritum", quando, tanto em Alemão como em Português, quer-se enfocar o decorrer de acontecimentos/estados no passado).[7] Em orações contendo conjunções que indicam simultaneidade, há também uma coincidência entre o emprego do "Präteritum" e do Pretérito Imperfeito do Indicativo: "Es hat ununterbrochen geregnet, *als* wir im Park *spazierengingen*" = "Choveu ininterruptamente, *enquanto passeávamos* no parque".

Nos casos em que se empregam advérbios de tempo não puntuais, tais como *antigamente (früher)*, *naquela época (damals)*, verifica-se também uma coincidência no emprego do "Präteritum" e do Pretérito Imperfeito do Indicativo.

Estas semelhanças entre os empregos do "Präteritum" e do Pretérito Imperfeito do Indicativo, por um lado, e do "Perfekt" e do Pretérito Perfeito do Indicativo, por outro lado, estão em harmonia com as características mais marcantes destes dois tempos verbais nas duas línguas: a de enfocar o decorrer de uma ação/de um estado ("Präteritum" e Pretérito Imperfeito do Indicativo), em oposição ao término de uma ação/de um estado ("Perfekt" e Pretérito Perfeito do Indicativo).

Não tendo encontrado uma análise dos tempos verbais do passado em Português em termos de Tempos Absolutos e Relativos, chamo a atenção para o fato de se apontar o Pretérito Imperfeito do Indicativo como Tempo Relativo na "Nova Gramática do Português Contemporâneo" (p. 453). Contrariando esta afirmação, os estudos aqui empreendidos apontam para semelhanças entre o significado e emprego do "Präteritum" e do Pretérito Imper-

feito do Indicativo enquanto Tempos Absolutos e entre o significado e emprego do "Perfekt" e do Pretérito Perfeito do Indicativo enquanto Tempos Relativos.

Limito-me a apontar neste trabalho as semelhanças e co-incidências encontradas, em primeiro lugar pela sua relevância didática, e em segundo lugar, por achar que uma análise dos pontos divergentes teria que ser mais minuciosa e deveria se seguir a um estudo das semelhanças, o que iria de encontro ao caráter inicial deste trabalho.

II — ÁREAS DE APLICAÇÃO

a) Aspectos envolvidos no ensino/aprendizagem destes dois tempos verbais do Alemão

Resumo a seguir a ordem, situação e explicações dadas na apresentação do "Präteritum" e do "Perfect" em "Sprachkurs Deutsch I" e "Themen I", apresentando simultaneamente suas características segundo uma gramática no sentido lato.

"Sprachkurs Deutsch I"	*"Themen I"*
Lição 12: «Präteritum»; situação: narrar e relatar sobre «Frankfurt antigamente e hoje»	Lição 9: «Perfekt»; situação: diálogo em que se observa a conseqüência de um acontecimento passado no momento em que se fala
Lição 14: «Perfekt»; situação: diálogo empregando um verbo de mudança de estado e os advérbios de tempo *ontem, já, e sempre*	Lição 10: «Präteritum»; situação: entrevista (diálogo e narrativa oral) enfocando determinada época do passado (1933-45) e o decorrer de ações/estados no passado, com ou sem conseqüências no momento presente
Manual do Professor: «Para a diferenciação dos tempos verbais tem-se que considerar o «grau de relevância» («Relevanzschwelle») de fatos passados no momento presente (p. 61). O «Präteritum» denota falta de relevância de fatos passados no momento presente.»	Manual do Professor: «O emprego do «Perfekt» ou do «Präteritum» se explica segundo envolvimento («Betroffenheit») ou não do falante com a situação do momento atual. O «Präteritum» denota falta de envolvimento» (p. 167/8)

Gramática no sentido lato

O "Präteritum" denota

1. distanciamento do momento presente
2. decorrer de uma ação/de um estado
3. falta de relacionamento de fatos/estados do 'passado' com o momento presente
4. 'passado' em relação ao momento em que se fala: Tempo Absoluto

O "Perfekt" denota

1. aproximação do momento presente, através de relação ou conseqüência com fatos/estados do momento presente[8]

2. término de uma ação/de um estado/processo
3. 'passado' em relação ao momento em que se fala e/ou em relação a outros fatos do momento presente: Tempo Absoluto e Tempo Relativo

No "Sprachkurs Deutsch I", apresenta-se o "Präteritum" antes do "Perfekt", o que já é tradição nos livros didáticos de Alemão para estrangeiros. Isto talvez se deva ao fato de o "Präteritum" ser o único tempo simples do passado em Alemão. Sua apresentação em primeiro lugar dispensa a explicação do uso dos auxiliares *haben* ou *sein* (*ter* ou *ser/estar*), necessários para a formação do "Perfekt". A situação escolhida para a apresentação do "Präteritum" é o contraste entre Frankfurt de antigamente e de hoje, e na lição apresentam-se apenas os verbos *haben* e *sein* no "Präteritum" (*ter* e *ser/estar*, respectivamente). Esta abordagem possibilita duas estratégias didáticas (Lehrstrategien), que poderão ser sempre retomadas, a longo prazo, para a diferenciação entre "Präteritum" e "Perfekt". A primeira delas consiste em se poder acentuar a tendência a se usar o "Präteritum" em Alemão, quando se usa também advérbios de tempo do tipo *früher* e *damals* (*antigamente* e *naquela época*, respectivamente); partindo-se desta tendência, que é uma regra geral, pode-se apontar as características mais gerais do "Präteritum", que são também características dos referidos advérbios de tempo: o falante se distancia do momento em que se fala, focaliza o decorrer de uma ação/de um estado no 'passado' e aponta falta de relacionamento entre 'presente' e 'passado'. Posteriormente, em níveis mais avançados e com outros objetivos, pode-se também resumir tais características como sendo as do "Präteritum" enquanto Tempo Absoluto.

A segunda estratégia didática consiste na possibilidade de se aproximar o "Präteritum" do Pretérito Imperfeito do Indicativo, quanto à tendência a serem empregados, no Alemão e no Português, com conjunções que indicam simultaneidade (*als*, *während* = *quando*, *enquanto*).

Todas as atividades desta lição reforçam o emprego do "Präteritum" (verbos *haben* e *sein*) juntamente com os referidos advérbios e outras expressões de tempo (p. ex. "há 20 anos", "no século passado", etc.). Estas atividades ressaltam, portanto, a característica de o "Präteritum" enfocar o decorrer de uma ação/de um estado no passado, distanciando tais ações/estados do momento presente, excetuando-se as atividades 22, 23 e 24, onde se emprega o "Präteritum" com o advérbio de tempo *ontem à noite*. Neste caso, o emprego do "Präteritum" é opcional, dependendo do enfoque dado pelo elocutor, assim como em Português poderia ser usado tanto o Pretérito Perfeito como o Pretérito Imperfeito do Indicativo. Tratando-se de iniciantes, sugeriria como atividade de "Transfer" a descrição de uma cidade há alguns anos atrás, ao invés das atividades 23 e 24, onde o emprego do "Präteritum" ocorre por razões estilísticas mais sutis, de que não trato aqui.

Para a apresentação do "Perfekt", na lição 14 do "Sprachkurs Deutsch I", a situação escolhida é

um diálogo, no qual se reforça o emprego ao "Perfekt" com advérbios de tempo como *já, ontem* e *sempre*. A vantagem desta apresentação consiste, principalmente, em se poder dar continuidade às estratégias didáticas adotadas para a explicação dò emprego do Präteritum". Pode-se evidenciar a tendência a se empregar o "Perfekt" com advérbios de tempo como *já, sempre, nunca*, ressaltando-se também o aspecto de término de uma ação/de um estado, contido nestas orações, e de sua relação com fatos do momento presente, em oposição ao emprego do "Präteritum". É possível também uma aproximação entre o emprego do "Perfekt" em Alemão e do Pretérito Perfeito do Indicativo em Português, em todas as atividades desta lição.

Considero esta abordagem bastante positiva para iniciantes, por tentar uma diferenciação bem palpável entre o emprego do "Präteritum" ou do "Perfekt". No entanto, este livro deixa um pouco a desejar no que diz respeito ao aspecto individual da escolha entre um ou outro, em determinadas situações e para alunos mais adiantados, por apresentar como justificativa para o emprego de um ou outro apenas o fato de se tratar de narrativa ou diálogo:[9] o "grau de relevância", apontado no Manual do Professor como motivo da escolha entre um ou outro não é evidenciado, uma vez que não se apresenta um texto ou um diálogo onde ambos os tempos sejam empregados segundo este critério do "grau de relevância" (Relevanzschwelle).

No livro didático "Themen I" optou-se pela apresentação do "Perfekt" (lição 9) antes do "Präteritum" (Lição 10). Esta inovação deve-se ao fato de "Themen" ser um método comunicativo, onde a aprendizagem do "Perfekt" é mais relevante, por ser mais usado em diálogos do que o "Präteritum".

As situações escolhidas evidenciam o emprego do "Perfekt" enquanto Tempo Relativo, uma vez que os diálogos se baseiam em fatos/estados do momento presente devidos a acontecimentos do passado. Em outras palavras: nos diálogos do "Themen I", o elocutor vê, no momento em que se fala (Redemoment), a conseqüência de algum fato ocorrido no passado. O emprego do "Perfekt" não é apresentado aqui como condicionado ao emprego de determinados advérbios de tempo. Neste caso, também é possível uma aproximação entre o emprego do "Perfekt" e do Pretérito Perfeito do Indicativo.

Na lição seguinte (lição 10), onde se apresenta o "Präteritum" dos verbos *haben* e *sein*, a situação escolhida (entrevistas sobre o Nazismo) possibilita oscilações no emprego de um ou outro tempo verbal: sempre que o elocutor vê alguma relação entre um fato passado e o momento presente, ele opta pelo emprego do "Perfekt";[10] se, ao contrário, não vê relação nenhuma entre fatos do passado e o momento atual, se quer ressaltar o decorrer (aspecto durativo) de ações/estados do passado, se quer distanciá-los do momento em que se fala, emprega o "Präteritum".[11] Nesta situação, a aproximação entre "Perfekt" e Pretérito Perfeito do Indicativo não é sempre possível, e este fato parece estar ligado à ausência de advérbios de tempo que reforçariam as características de um e outro.[12]

Dentro desta abordagem comunicativa e devido aos textos escolhidos, a grande vantagem é a de os critérios do "envolvimento do falante" (Betroffenheit; Themen I) e do "grau de relevância" (Relevanzschwelle; Sprachkurs Deutsch) tornarem-se mais elucidativos para o *professor*, visto que estes critérios explicitam o caráter opcional no emprego de um ou outro. Para alunos *iniciantes*, falantes nativos de Português, esta abordagem apresenta um grande inconveniente: o de não definir claramente, quando da apresentação do "Präteritum", os fatores que podem determinar o emprego do "Perfekt" *ou* do "Präteritum". Parte-se de uma situação em que o falante nativo de Alemão "sabe" as nuances que motivam a preferência por um ou outro; mas é bem difícil mostrar tais nuances a principiantes através dos referidos critérios, que considero vagos e subjetivos, talvez por estarem voltados para situações onde se pode empregar ou um ou outro.

Tendo sido justamente esta a dificuldade didática detectada no início deste trabalho e que me propus analisar mais de perto, passo às conclusões deste estudo sobre o "Präteritum" e o "Perfekt" e de sua aplicação no processo ensino/aprendizagem do Alemão para falantes de Português, através das regras de uma gramática no sentido lato:

— Para iniciantes, é imprescindível a apresentação de situações em que só se possa empregar ou um ou outro; este objetivo é atingido com maior eficácia quando se lança mão dos advérbios de tempo que reforçam as características do "Präteritum" (decorrer de uma ação/de um estado) e do "Perfekt" (término de uma ação/de um estado). É aconselhável, neste estágio, uma aproximação entre o "Präteritum" e o Pretérito Imperfeito do Indicativo e entre o "Perfekt" e o Pretérito Perfeito do Indicativo, ainda mais que em Português usam-se os mesmos advérbios de tempo que em Alemão, para os dois pretéritos. Tais estratégias são possíveis quando se trabalha com o "Sprachkurs Deutsch I", mas não com o "Themen I", que não reforça o significado de "Präteritum" e "Perfekt" através de advérbios de tempo, mas sim através de situações. Tal abordagem afasta-se da gramática no sentido lato, por não facilitar o entrosamento entre regras menos gerais (emprego de advérbios de tempo, aproximação entre os tempos verbais do Alemão e do Português) e regras mais gerais (decorrer X término de uma ação/de um estado — Tempo Absoluto e Tempo Relativo). Além disto, é mais problemático iniciar falantes do Português no emprego do "Perfekt" e do "Präteritum" quando seu emprego é opcional e explicável somente dentro do próprio sistema verbal do Alemão, o que exige maiores conhecimentos da Língua Alemã.

— Em níveis mais adiantados, pode-se então passar às situações onde, em Alemão, o emprego de um ou outro é opcional, dependendo do enfoque do elocutor. O caminho mais simples parece ser uma distinção inicial entre "narrativa" e "diálogo", evidenciando-se os motivos de se empregar o "Präteritum" em narrativas e o "Perfekt" em diálogos.[13]

Os textos do "Sprachkurs Deutsch 2" servem bem a esta distinção, que pode ser explicada através das características aqui apontadas e que distinguem o "Perfekt" do "Präteritum" (aproximação X distância do momento presente)'.

Posteriormente, pode-se trabalhar com os textos do "Themen I" (p. 118), do "Themen II" (p. 68/9) e do "Themen III" (p. 100), onde o "Präteritum" é empregado em diálogos e o "Perfekt" em narrativas, contrariando aquela regra geral (v. p. II deste trabalho) que afirma o contrário: o "Präteritum" seria empregado só em narrativas e o "Perfekt" só em diálogos. Neste nível, pode-se então explicitar os critérios de "grau de relevância" e "envolvimento do falante", quando o emprego de um ou outro for opcional: sempre que o elocutor vê alguma relação entre um fato passado e o momento em que se fala, ele emprega o "Perfekt"; se, ao contrário, não vê relação entre um fato passado e o momento presente, emprega o "Präteritum", ressaltando os aspectos de distanciamento do momento presente e de decorrer de ações/estados no passado, contidos neste tempo verbal.

A peça radiofônica (Hörspiel) "Um conterrâneo" ("Ein Landsmann") de G. W. Pfeifer também oferece um bom exemplo em que o elocutor, em meio a um diálogo, passa a empregar o "Präteritum", com a finalidade de ressaltar a falta de relacionamento entre 'presente' e 'passado'.

Estes casos de emprego opcional entre "Perfekt" e "Präteritum" não permitem uma aproximação com os Pretéritos Perfeito e Imperfeito do Indicativo em Português. Por isso, deveriam ser estudados em níveis mais adiantados, onde se possa recorrer a conhecimentos mais profundos de Alemão por parte dos alunos, para que possam captar a diferença em Alemão, e não através de uma comparação com o Português.

b) Aspectos envolvidos na tradução do Português para o Alemão

Baseando-me neste estudo sobre o emprego e significado do "Präteritum" e do "Perfekt", gostaria de fazer algumas críticas à tradução alemã do poema "Confidência do itabirano", de Carlos Drummond de Andrade, principalmente no que diz respeito à transposição do Pretérito Perfeito do Indicativo. A minha análise do poema no original limita-se, portanto, a um estudo sobre o significado e emprego deste tempo verbal do Português, necessária a uma investigação prévia sobre as possibilidades da sua transposição para o Alemão. Através do estudo destas possibilidades, tentarei levantar também alguns argumentos que apontam para o fato de o Pretérito Perfeito do Indicativo poder ser empregado como Tempo Relativo ou Absoluto, sendo dentro desta perspectiva similar ao "Perfekt".

CONFIDÊNCIA DO ITABIRANO [14]

Alguns anos vivi em Itabira.
Principalmente nasci em Itabira.
Por isso sou triste, orgulhoso: de ferro.

Noventa por cento de ferro nas calçadas.
Oitenta por cento de ferro nas almas.
E esse alheamento do que na vida é porosidade e comunicação.

A vontade de amar, que me paralisa o trabalho,
vem de Itabira, de suas noites brancas, sem mulheres e sem horizontes.
E o hábito de sofrer, que tanto me diverte,
é doce herança itabirana.

De Itabira trouxe prendas diversas que ora te ofereço:
este São Benedito do velho santeiro Alfredo Duval;
este couro de anta, estendido no sofá da sala de visitas;
este orgulho, esta cabeça baixa...

Tive ouro, tive gado, tive fazendas.
Hoje sou funcionário público.
Itabira é apenas uma fotografia na parede.
Mas como dói!

Na primeira estrofe, o emprego do Pretérito Perfeito do Indicativo ressalta o aspecto perfectivo de fatos passados (vivi, nasci), ao mesmo tempo em que relaciona estados do momento presente (sou triste, orgulhoso: de ferro") àqueles fatos passados, relação que vem explicitada a nível lexical através de por isso. A partir daí, o poeta emprega o Presente do Indicativo até o final da segunda estrofe.

No primeiro verso da terceira estrofe, a vinculação entre uma ação concluída no passado (trouxe) e uma ação do momento presente (ofereço) vem reforçada lexicalmente por ora. Portanto, na primeira e terceira estrofes, além de acentuar o aspecto perfectivo de determinadas ações/estados do passado, o Pretérito Perfeito do Indicativo tem também a função de associar e vincular 'passado' e 'presente', criando no leitor uma expectativa da conseqüência de um fato passado no momento presente. Estas características indicam, na minha opinião, que o Pretérito Perfeito do Indicativo está empregado aí como Tempo Relativo.

Para se refletir sobre a transposição do Pretérito Perfeito do Indicativo para o Alemão, na primeira e terceira estrofes, tem-se que levar em consideração, além dos aspectos a que já me referi, a diferença entre 'narrado' e 'falado',[15] visto ser esta diferença decisiva no Alemão para a opção entre "Perfekt" ou "Präteritum".

O uso alternado de Pretérito e Presente do Indicativo, nas três primeiras estrofes do original, caracteriza um "sistema de relações com o 'presente', próprio do 'falado'", acentuando a oralidade do poema, que se faz presente também em outros aspectos de que não trato aqui. Todos estes fatores indicam que o "Perfekt" seria o tempo verbal alemão mais apropriado para "traduzir" todas essas sutilezas, envolvidas no emprego do Pretérito Perfeito do Indicativo na primeira e terceira estrofes do original.

No primeiro verso da quarta e última estrofe, o emprego do Pretérito Perfeito do Indicativo tem conotações bem diversas das apontadas em seu emprego anterior. Aqui, o poeta provoca um efeito oposto ao das estrofes anteriores; nesta última estrofe, ele pretende acentuar uma completa oposição entre 'presente' e 'passado' e não uma conseqüência no momento presente de fatos acontecidos

e encerrados num momento passado. Em outras palavras, ele emprega o Pretérito Perfeito do Indicativo como Tempo Absoluto na última estrofe, situando um estado como 'passado' em relação direta com o momento em que se fala, sem associar 'passado' e 'presente', ou seja, sem apresentar a situação do momento presente como conseqüência de fatos passados, mas sim como uma contradição absurda. Esta oposição ao emprego anterior do Pretérito Perfeito do Indicativo como Tempo Relativo, que vinculava 'passado' e 'presente', antecipa a dor do poeta pela desvinculação entre 'presente' e 'passado', que ele reforça nos dois últimos versos. Por estar empregado como Tempo Absoluto na última estrofe e por não associar 'presente' e 'passado', a transcrição mais acertada do Pretérito Perfeito do Indicativo para o Alemão parece ser a do "Präteritum", na quarta estrofe.

Transcrevo a seguir a tradução alemã do poema, por Curt Meyer-Clason:

VERTRAULICHKEITEN EINES ITABIRANERS

Einige Jahre lebte ich in Itabira.
Vor allem wurde ich in Itabira geboren.
Deshalb bin ich traurig, stolz: aus Eisen.
Neunzig Prozent Eisen in den Seelen.
Und diese Entfremdung von dem, was im Leben
    Durchlässigkeit ist und Mitteilsamkeit.

Der Wunsch zu lieben, der meine Arbeit lähmt,
kommt aus Itabira, aus schlaflosen Nächten ohne Frauen
    und ohne Horizont.
Und die Gewohnheit zu leiden, die mich sehr amüsiert,
ist liebes itabiranisches Erbe.

Aus Itabira habe ich dir verschiedene Geschenke
mitgebracht: diesen Sankt Benedikt
des alten Devotionalienhändlers Alfredo Duval;
dieses Tapirfell, gebreitet über das Sofa des Besuchssalons;
diesen Stolz, diese gesenkte Stirn...

Ich besass Geld, ich besass Vieh, ich besass Landgüter.
Heute bin ich Staatsbeamter.
Itabira ist nur noch ein Foto an der Wand.
Doch wie es schmerzt!

O tradutor optou pelo emprego do "Präteritum" em todo o poema. Somente no primeiro verso da terceira estrofe ele emprega o "Perfekt"; isto talvez se deva ao fato de a vinculação entre 'presente' e 'passado' ser tão evidente neste verso, que o tradutor substitui *ora* por um sinal de pontuação, os dois pontos.

Parece-me que o emprego constante do "Präteritum" acarreta algumas perdas significativas na tradução alemã, que passo a analisar, usando as regras aqui estudadas sobre as conotações do significado e emprego do "Perfekt" e do "Präteritum".

O emprego do "Präteritum" nas primeiras estrofes desfaz a vinculação entre 'presente' e 'passado', criada no original através do emprego alternado entre Pretérito Perfeito e Presente do Indicativo. Isto porque o "Präteritum", como Tempo Absoluto, denota ações/estados passados, distanciando-os e não vinculando-os a outras ações/estados do momento em que se fala. Esta vinculação vem expressa lexicalmente por *deshalb*, mas não surte, em Alemão, o efeito conseguido no original. Além

de desfazer o clima de expectativa do original, onde o 'presente' aparece como conseqüência do 'passado' nas três primeiras estrofes, o poema perde seu caráter de oralidade, pois o "Präteritum" faz parte de um "sistema de relações com o 'passado', caracterizando o 'narrado' e não o 'falado' ".[16] Assim, desde a primeira estrofe da tradução, não se salienta o fato de o 'presente' ser sentido pelo poeta como conseqüência do 'passado', nas três primeiras estrofes. Com isto, a desvinculação entre 'presente' e 'passado' da última estrofe do original, que ressalta a antecipa o sofrimento do poeta diante da contradição e não mais vinculação entre 'presente' e 'passado', também se perde na tradução.

Tendo submetido estas apreciações aos colegas do Setor de Alemão, a quem agradeço pela colaboração, todos foram unânimes em considerar acertadas as minhas críticas à tradução alemã e em aprovar minhas sugestões sobre a transposição do Pretérito Perfeito do Indicativo para o Alemão, fundamentadas na parte teórica deste trabalho.

Transcrevo a tradução de Curt Meyer-Clason com as devidas alterações:

VERTRAULICHKEITEN EINES ITABIRANERS

Einige Jahre habe ich in Itabira gelebt.
Vor allem bin ich in Itabira geboren.
Deshalb bin ich traurig, stolz: aus Eisen.
Neunzig Prozent Eisen in den Gehsteigen.
Achtzig Prozent Eisen in den Seelen.
Und diese Entfremdung von dem, was im Leben
    Durchlässigkeit ist und Mitteilsamkeit.

Der Wunsch zu lieben, der meine Arbeit lähmt,
kommt aus Itabira, aus schlaflosen Nächten ohne Frauen
    und ohne Horizont.
Und die Gewohnheit zu leiden, die mich sehr amüsiert,
ist liebes itabiranisches Erbe.

Aus Itabira habe ich dir verschiedene Geschenke
mitgebracht:
Diesen Sankt Benedikt des alten Devotionalienhändlers
    Alfredo Duval;
Dieses Tapirfell, gebreitet über das Sofa des Besuchssalons;
Diesen Stolz, diese gesenkte Stirn...

Ich hatte Geld, besass Vieh und Landgüter.
Heute bin ich Beamter.
Itabira ist nur noch ein Foto an der Wand.
Doch wie es schmerzt!

Conclusão

Parece-me que as regras para a diferenciação entre "Perfekt" e "Präteritum'" analisadas aqui como parte de uma gramática no sentido lato, podem ter boa aplicação didática, por permitirem uma aproximação inicial com os tempos simples do Pretérito do Português. Ao mesmo tempo, elas oferecem explicações mais plausíveis, quando essa aproximação não for possível, prestando-se, portanto, ao trabalho tanto com alunos iniciantes quanto com alunos mais adiantados.

A análise da sua aplicação à área da tradução também me pareceu útil, por contribuir para o esclarecimento de alguns fatores opcionais que, em Alemão, permitem o emprego ou do "Präteritum" ou do "Perfekt".

NOTAS

1 Dieter Wunderlich, p. 142.
2 Ibid., p. 148.
3 Ibid., p. 148.
4 v. Heidolph et al., p. 519.
5 v. Fachdienst Germanistik, Abril 1987, N° 4, p. 5, «Perfekt» und «Präteritum».
6 v. Nova Gramática do Português Contemporâneo, p. 454; Dieter Wunderlich para o Alemão; Bernard Pottier, p. 100: «A forma *aconteceu* evoca o fato visto como perfectivo, terminado.»
7 v. Gladstone Chaves de Melo, p. 160: «Nas línguas românicas, o aspecto se mistura ao tempo, predominando este. Num imperfeito — trabalhava, respondia, contestava, — percebe-se, antes de mais nada, um passado, ficando apenas subjacente a idéia de ação inacabada, ou sem contornos, ou solta no espaço, sem princípio nem fim delimitados, ou vagamente concomitante de outra, esta, sim, precisa e nítida: «Eu morava em Lisboa, quando você passou por lá em 1975».
8 v. Fachdienst Germanistik, Abril 1987, N° 4, p. 5.
9 v. «Sprachkurs Deutsch 2», lição 25.
10 v. «Themen I», p. 118.
11 v. «Themen I», p. 118.
12 Dieter Wunderlich, p. 33, regra 8 e nota de rodapé II; v. p. 191, regra 43.
13 Sobre estes motivos v. «Grundzüge einer deutschen Grammatik», p. 519-20: «O 'falado' envolve um sistema de relações com o 'presente' (...) O 'narrado' envolve um sistema de relações com o 'passado'.»
14 C. Drummond de Andrade, *Gedichte*, Frankfurt/M., Suhrkamp Verlag, 1983, p. 42-3.
15 v. 13.
16 v. Heidolph, p. 519-20.

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A COMPARISON OF TWO TRANSLATIONS OF JOHN DONNE'S "THE FLEA"

Uma Comparação de duas Traduções de "A Pulga" de John Donne

Ein Vergleich zwischen zwei Übersetzungen von "Der Floh" von John Donne

John MILTON •

SUMMARY

This study will make a comparison of two translations of John Donne's «The flea» by translators often considered to have very contrasting styles — Paulo Vizioli (PV) and Augusto Campos (AC).

RESUMO

Este estudo fará uma comparação de duas traduções de «A pulga» de John Donne por tradutores de estilos notoriamente diferentes — Paulo Vizioli (PV) e Augusto Campos (AC).

THE FLEA

By JOHN DONNE

1 Mark but this flea, and mark in this,
2 How little that which thou deny'st me is;
3 Me it sucked first, and now sucks thee,
4 And in this flea, our two bloods mingled be;
5 Confess it, this cannot be said
6 A sin, or shame, or loss of maidenhead,
7   Yet this enjoys before it woo,
8   And pampered swells with one blood made of two,
9   And this, alas, is more than we would do.

10 Oh stay, three lives in one flea spare,
11 Where we almost, nay more than married are.
12 This flea is you and I, and this
13 Our marriage bed, and marriage temple is;
14 Though parents grudge, and you, we're met,
15 And cloistered in these living walls of jet.
16   Though use make you apt to kill me,
17   Let not to this, self murder added be,
18   And sacrilege, three sins in killing three.

19 Cruel and sudden, hast thou since
20 Purpled thy nail, in blood of innocence?
21 In what could this flea guilty be,
22 Except in that drop which it sucked from thee?
23 Yet thou triumph'st, and say'st that thou
24 Find'st not thyself, nor me the weaker now;
25   'Tis true, then learn how false, fears be;
26   Just so much honour, when thou yield'st to me,
27   Will waste, as this flea's death took life from thee.

From *John Donne, The complete English poems,* edited by A. J. Smith

A PULGA

1 Repara nesta pulga e apreende bem
2 Quão pouco é o que me negas com desdém.
3 Ela sugou-me a mim e a ti depois,
4 Mesclando assim o sangue de nós dois.
5 E é certo que ninguém a isto alude
6 Como pecado ou perda de virtude.
7   Mas ela goza sem ter cortejado
8   E incha de um sangue em dois revigorado:
9   É mais do que teríamos logrado.

10 Poupa três vidas nesta que é capaz
11 De nos fazer casados, quasè ou mais.
12 A pulga somos nós e este é o teu
13 Leito de núpcias. Ela nos prendeu,
14 Queiras ou não, e os outros contra nós,
15 Nos muros vivos deste Breu a sós.
16   E embora possas dar-me fim, não dês:
17   É suicídio e sacrilégio, três
18   Pecados em três mortes de uma vez.

19 Mas tinges de vermelho, indiferente,
20 A tua unha em sangue de inocente.
21 Que falta cometeu a pulga incauta
22 Salvo a mínima gota que te falta?
23 E te alegras e dizes que não sentes
24 Nem a ti nem a mim menos potentes.
25   Então, tua cautela é desmedida.
26   Tanta honra hei de tomar, se concedida,
27   Quanto a morte da pulga à tua vida.

Translation by Augusto de Campos in *O anticrítico* but first published in «John Donne, 72».

• USP

A PULGA

1 Nota esta pulga, e nota, através dela,
2 Que o que me negas é uma bagatela;
3 Tendo sugado a mim, e a ti depois,
4 Nela se mescla o sangue de nós dois;
5 Sabes que isso não pode ser chamado
6 Defloração, vergonha, nem pecado;
7   Ela, no entanto, rude e ousada,
8   De sangue duplo se deforma empanturrada,
9   E, perto disso, o que desejo, ai! não é nada.

10 Pára! Três vidas poupa este momento,
11 Onde houve quase... oh, mais que um casamento.
12 Somos a pulga, e a nós ela é perfeito
13 Templo de núpcias e de núpcias leito;
14 Contra ti e teus pais, a união se deu
15 Nesse claustro murado em vivo breu.
16   Matando-me pela honradez,
17   Praticarás o suicídio a uma só vez,
18   E o sacrilégio, três pecados pelos três.

19 De púrpura manchaste, sem clemência,
20 As unhas com o sangue da inocência?
21 Essa pulga seria tão daninha,
22 Só por te haver sugado uma gotinha?
23 Porém exultas, porque após tal morte
24 Nenhum de nós se mostra menos forte.
25   Bem, vê como o temor é ruim;
26   Perderás tanto de honra ao vires para mim,
27   Quanto de vida porque a pulga teve fim.

Translation by Paulo Vizioli in John Donne,
O poeta do amor e da morte

Considerable differences in the two translations can be noted right from the first line, *Mark but this flea, and mark in this*, AC using the more didactic *repara* and *aprende bem* and PV the less formal *nota*, repeated, as is *mark*. However, neither manages to include the second meaning of *mark*, *squash*, *kill*, which will indeed happen at the beginning of the third stanza. AC continues to distance Donne and his mistress in 1.2 where he adds *desdém* to *negas*. In Donne's poem the lady is refusing the poet but with no disdain or condescension. The emphasis is on the littleness of what is being refused, not on the attitude of the lady. *Bagatela* gives more this idea of smallness. In his notes to "The flea" in *John Donne, the complete English poems*, A. J. Smith mentions that in Donne's time the letter *s* was sometimes still printed in its old form (ʃ), which could easily be read as *f*, giving the obvious quibble of *fucks*. Even if this were not the case, the sexual innuendo of *sucks* with *s* is lost by both translators by using *sugar*. Would not *chupar* have been better? And in the same line, 1.3, isn't AC somewhat redundant in *Ela sugou-me a mim?* Does the alliteration add anything? Line 4 has two similar renderings, but neither AC nor PV gets the internal rhyme, *flea, be*. In the next couplet, 1.5-6

Donne's coaxing attitude towards his mistress reappears, *Confess it, you know but you are just pretending, you're just playing a game that will end in lovemaking* with the mock purity of religous-confession. AC returns to his earlier formality of 1.1-2 with *alude* in 1.5 and no imperative to show that this line is directed to the lady. AC also fails to include a Portuguese equivalent of *shame*. *Sin* and *loss of maidenhead* can be kept to herself; however, it is a much greater worry if others see her as a whore. In Stanza 2 *though parents grudge* links her worry of what the world will think. PV's *Sabes* is much nearer to *Confess*, though weaker, and though changing the word order for the sake of rhyme, manages to include three worries. The clear sexual innuendo of *enjoys* in 1.7 is translated as *goza* by AC but PV weakens it to *rude e ousada*. Incidentally, AC's English version of 1.7 gives *woe* for *woo*, a reading I have not come across in any edition of Donne. Such a reading would entirely change the line, if not the whole poem. As AC uses *sem ter cortejado*, *woe* must be a misprint, one of a large number of English misprints in this otherwise beautiful book. The result of this precocious enjoyment is in 1.8 *pampered swells with one blood made of two*. Pregnancy is obvious, but a voluptuous, happy swelling fed on the sweet blood of the lady. The Oxford English Dictionary gives *luxuriously fed* for *pampered*. AC's *um sangue em dois revigorado* is more appropriate than the physical ugliness of PV's *se deforma empanturrada*. In a note to empanturrada PV comments that "A descrição da pulga, que, empanturrada, se deforma com o duplo sangue encerra grotesca sugestão da gravidez, outra deformação física provocada pela 'mistura de dois sangues'." I fail to see grotesque element in Donne. And surely the poet wants to persuade his mistress to make love, not to put her off. In the last line of this stanza, 1.9, Donne gives the clear idea that they, unlike the flea, have not managed to join their bloods, the *this* referring back to the previous two lines, 1.7-8, where the flea has been able to join their two bloods and profit by it. PV's version is confusing here: *O que desejo, my wanting to make love with my mistress is nothing compared to the flea's ability to se deforma(r) empanturrada*. But surely what the I of the poem wishes is to join their bloods in exactly the same way as the flea was able to. PV's line 9 also seems excessively fragmentary, with four pauses, making the final conclusion much more hesitant. AC's final line is happier but *logrado* is something of a distortion. Donne is saying this is more than *we (particularly you) dared to do*. *Logrado* says that *this is more than we would have succeeded in doing if we had started*.

A certain distance in the attitude of the poet to his mistress is again noticeable in AC at the beginning of the second stanza. While Donne eulogises his flea, *where we almost, nay more than married are*, taking delight in the elaborateness of the conceit as it grows from *almost* to *more than married*, AC detaches the poet. The flea is only

capaz de nos fazer casados. There is none of the poet's delight in the afterthought of *quase ou mais*. PV keeps syntactically closer to Donne but with a certain awkwardness. Donne's tone is always conversational. He is talking, persuading, wheedling, coaxing. *Oh stay* is more *stop and think* than *Pára!* and *oh* seems a little melodramatic when we compare it to the *nay* of Donne's change of thought direction. And where, other than for reasons of rhyme, does *este momento* come in? Does it not give the idea that although she should not kill the flea at that precise moment, there would be no harm in killing it later? Thus much of the sacrilegious element of Donne's mistress killing her flea is lost. With the simple *Poupa três vidas nesta* AC here is happier. What does the second *this* of line 12 refer to? The title of the poem is "The flea". All the references are to the flea so surely Donne is not going to introduce an extraneous element? Surely *this* will not mean their bed and room, the place where they are? If it does, much of the wit is lost. And this conceit clearly fits in with the rest of the poem. In the flea they are joined physically as in a *marriage bed* and with the permanent bond of the wedding service in a *marriage temple*. The *este* of AC would have to be *esta* to agree with *pulga* and therefore must refer to something else, thus weakening Donne's conceit. Moreover, AC omits the *marriage temple*, PV keeps closer to Donne, but the switching of position of *núpcias* in *Templo de núpcias e de núpcias leito* signposts rhyming necessity for the readers. In the next two lines, 1.14-15, Donne's argument is *there's nothing at all we can do about the situation. Although you and your family may not like the idea, we have already come together inside the flea, therefore why don't we make love?* Inferred from these two lines we have the sexual coming together of *we are met*, which of course runs right through the poem and also the monastery-like holiness of *cloistered*, linking back with the *marriage temple*. Again there is sexual innuendo as the cloistering in the *living walls of jet* can be read as the poet's entering the lady's vagina. PV's *a união se deu nesse claustro murado* is sufficiently ambiguous but AC changes the subject and gives *Ela nos prendeu*. Of course the flea did the sucking but the we subject of Donne points to a voluntary imprisonment on their part. Why does AC use the vague *outros* for *pais* in line 14? It can only be for extra assonance, to give an accumulation of *o* sounds in *ou*, *os*, *outros* and *nós*. Both translators use *B/breu* for *jet* in line 15. The Oxford English Dictionary gives *jet* as a *deep glossy black*, which adds further to the ambiguities of this line. They are separated and secluded as in a monastery but at the same time they are not still as the walls are alive, moving and shining. And what is moving is not something unattractive, pitch or tar, but something glamourous, another irony on the insignificant flea. *Breu* gets the colour but not the positive associations of *jet*. Donne's next line, line 16, *Though use make you apt to kill me* has a number of different readings which play on different interpretations of *use*, *apt* and *kill*.

1. *You are so accustomed to me that you don't realise that you can hurt me enough even to kill me.*

2. *Being used sexually would enable you to bring me to orgasm.*

3. *Being used sexually would give you the skill of bringing me to orgasm regularly.*

4. *As you will get used to me sexually, you will readily be able to bring me to orgasm.*

AC's version takes into account only the first reading whereas PV's *Matando-me pela honradez* retains Donne's ambiguities. As PV points out in his note, the final two lines of the second stanza draw the parallel between the flea, containing three bloods, and the Holy Trinity, emphasised by the repetition of *three... three* in line 18. AC's addition of *de uma vez* adds to Donne's finality and definiteness, *by killing the flea you are killing three lives at the same time*. But PV's *a uma só vez* seems to be out on a limb and ambiguous where unambiguity is the order of the day, giving the possible redundancy of *she will commit suicide completely, she will not just half kill herself and leave the rest till later*. Isn't this kind of suicide rather messy and difficult?

At the beginning of the third stanza the lady has squashed the flea. Donne ironically accuses her of being *cruel and sudden*. PV gives the equally strong *sem clemência* and AC the weaker *indiferente*. The colour of the nail which killed the flea is *purple* in Donne, *púrpura* in PV and *vermelho* in AC. In this stanza Donne stresses the innocence of the flea and the smallness of what it has done; the lady's giving up her virginity to him will be as small a thing as the flea's biting them. Thus Donne uses *purpled* with its connotations of royal blood rather than *red*, which would point to the ceremonial act of loss of virginity, which he is trying to make into something insignificant. PV's *púrpura*, however, does not fit in with his more sexual *manchaste*. AC makes his *vermelho* even stronger with the semi-permanent *tinges*. My personal experience of squashing fleas is that they leave a small purple-black mark which can easily be rubbed or washed off. Maybe neither translator has much experience of killing fleas. And as fleas are quite tiny, only one nail is needed to kill a single flea. So PV's *as unhas* is unsuitable. In line 20 Donne glorifies the flea to represent the quality of *innocence* which the lady has attacked and defiled. And if her attack on *innocence* causes so little worry, why should she worry about the loss of her own innocence, her virginity? PV gives the abstract quality of *inocência*, but AC reduces this to the *inocente* flea. In the next couplet, 1. 21-22 PV's use of the diminutive *gotinha* to rhyme with *daninha* gives a colloquial playful tone and contrasts with AC's more formal *incauta*, which also has no equivalent in Donne's text. In lines 23-24 the lady thinks she has gained the upper hand as Donne has told her all about the

mingling of their bloods in the flea and that by killing it she herself would feel some pain. However, she has felt nothing and Donne tells her *thou triumph'st, exultas* in PV and the weaker *te alegras* in AC, which fails to give the idea of her victory. For *weaker* AC uses *menos potentes*, in so doing introducing a sexual connotation which doesn't exist in Donne. When we examine the link with the next three lines, 1.25-27, we find *potentes* unsuitable. Donne says that *she will not lose as much honour or blood as was given up to the flea when she yields to him*. Following through AC's *potentes* along these lines of reasoning, *she thinks she will feel less potente, less sexually able, by yielding to him*. It may make her weaker in terms of the loss of blood, the physical energy used up, and the opinion of society which will consider her less chaste, but it is much more likely to stimulate her sexual appetite than to weaken it. Line 25 may have two readings depending on whether or not there is a comma between *false* and *fears*: *then learn how false all fears are*; or *learn how those fears which are false are* implying there are also fears which are *not false*. AC follows A. J. Smith's edition, placing a comma between false and fears, thus obliging him to use the first interpretation. PV has no comma. AC translates *false (,) fears* with *cautela*, which gives the idea that the lady may, although surreptitiously, give in to him. However, *desmedida* compensates for the change of direction of *cautela*. In PV, by contrast, we have the strong *temor* and the weak *ruim*. Donne's final two lines, 1.26-27, show his wit conquering that of the lady. *When thou yield'st to me* shows us that she will certainly not resist. AC's *se concedida* makes this more doubtful while PV's *ao vires* keeps the certainty. AC's *hei de tomar* makes the poet take a more active role than in *will waste* of Donne or PV's *perderás*, which leave the initiative with her or show that she will give in to abstract forces.

In terms of metre Donne uses alternating octosyllabic and decasyllabic lines for the first six lines of each stanza. The seventh line has eight syllables and the last two have ten each. The rhyme scheme is aabbccddd. AC uses decasyllabic lines right through each stanza. In PV lines 1-7 are decasyllabic and the last two lines are duodecasyllabic. Both translators maintain Donne's rhyme scheme. AC's very regular metre has a considerable smoothness and sophistication, which is increased by somewhat formal vocabulary. *Alude* 1.5 and *incauta* 1.21 have already been mentioned. An air of urbanity is also given by the considerable amount of assonance and alliteration such as line 12 *somos nós e este* and *este é o teu* and line 24 *nem a ti nem a mim menos*. This is all very different from Donne's colloquial jerkiness. Donne often hesitates in the middle of a line and changes thought direction.

AC gives a continuous stream of polished thought. Compare lines 10 and 11.

Donne: Oh, stay, three lives in one flea spare,
Where we almost, nay more than married are.

AC: Poupa três vidas nesta que é capaz
De nos fazer casados, quase ou mais.

Donne stops and starts. He calls the lady, shouts an emotional plea to her, begins to make an elaborate comparison and then modifies this conceit. The rhyme gives flow, but the breaks and different line lengths prevent any slickness. By contrast, AC's rhyming couplets seem to belong more to the urbane rhyming couplets of the Augustans. PV's metre is a little more faithful to Donne. Metrical variety is added by the duodecasyllables of the final two lines of each stanza. And PV tries to retain Donne's conversational style. Let us look at his version of lines 10 and 11.

Pára! Três vidas poupa este momento

Onde houve quase... oh, mais que um casamento.

Like in Donne, there are four changes of direction and similar exclamations. But it seems that this leads to a certain clumsiness in Portuguese. This is the case in the second line where the *oh* contains a gushiness very different from the reflective *nay*. This is equally the case with the last line of the first stanza, line 9.

Donne: And this, alas, is more than we would do.

PV: E, perto disso, o que desejo, ai! não é nada.

Ai! is a much more melodramatic pouring out of the soul than the sighing of Donne's *alas*.

This analysis has shown the very different styles of translation of AC and PV. PV attempts to be, in general, close to the rhythms and content of Donne, though not without certain problems. AC takes a freer hand. To what extent can AC's translation of "The flea" be regarded as a creative translation? In *"The Women of Trachis* and Creative Translation"* (p. 287) H. A. Mason examines Ezra Pound's translation of Sophocles' *The Women of Trachis* and makes the following comments "creative translation at its best brings a sword: a disturbing breach with the past and a disturbing new view of our present selves. Unless the translator has come to see our life in disturbing new terms he can have no profound need to assume the Greek tragic mask." These remarks particularly refer to the creative translation of tragedy but the importance of the translator's own viewpoint is clear. R P

AN ANALYSIS OF TRANSLATION ERRORS MADE BY BRAZILIAN STUDENTS

Uma Análise de Erros de Tradução Feitos por Alunos Brasileiros

Fehleranalyse bei Übersetzungen Brasilianischer Studenten

Maria da Conceição Magalhães VAZ DE MELLO *

SUMMARY

This paper presents an analysis of the errors which occurred in translations from Portuguese into English written by Brazilian students. This topic has been chosen because there are few studies of errors made by Brazilian students in the process of learning English and also because many language teachers still consider interference from the mother tongue the only source of errors in foreign language learning . Errors due to interference from the foreign language itself have often been disregarded.

In order to explain the causes of the errors five categories were established: errors due to L1 interference, errors due to L2 interference, errors due to L1 and/or L2 interference, errors due to communication strategies and errors of indeterminate origin. Errors due to communication strategies were classified according to three different types, proposed by Tarone (1977). The first is topic avoidance, the second is paraphrase and the third is conscious transfer. Errors of indeterminate origin are unsystematic and cannot be assigned to any of the other four categories.

My claim in this paper is that since the speech of children learning their first language contains many errors, foreign language learners should be allowed to make errors. By making errors learners provide the teacher with information about what they haven't learned.

RESUMO

Este artigo apresenta uma análise dos erros que ocorreram em versões do português para o inglês feitas por alunos brasileiros. Este tópico foi escolhido porque há poucos estudos sobre erros feitos por alunos brasileiros durante o processo de aprendizagem do inglês e também porque muitos professores de línguas ainda consideram a interferência da língua materna como a única fonte de erros na aprendizagem de uma língua estrangeira. Erros de interferência da própria língua estrangeira freqüentemente não são considerados.

Para explicar as causas dos erros cinco categorias foram estabelecidas: erros de interferência da L1, erros de interferência da L2, erros de interferência da L1 e/ou da L2, erros de estratégias de comunicação e erros de origem indeterminada. Os erros de estratégia de comunicação foram classificados de acordo com três tipos diferentes sugeridos por Tarone (1977). O primeiro é abstenção de tópico, o segundo, paráfrase e o terceiro, transferência consciente. Erros de origem indeterminada não são sistemáticos e não podem ser classificados de acordo com nenhuma das outras quatro categorias.

Um dos objetivos deste trabalho é provar que, do mesmo modo que a fala de crianças aprendendo sua língua materna apresenta muitos erros, alunos aprendendo uma língua estrangeira também deveriam poder fazer erros. É através dos erros de seus alunos que o professor consegue informação sobre aquilo que eles ainda não aprenderam.

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INTRODUCTION

This paper presents an analysis of the errors which occurred in translations from Portuguese into English written by Brazilian students. This topic has been chosen because there are few studies of errors made by Brazilian students in the process of learning English and also because many language teachers still consider interference from the mother tongue the only source of errors in foreign language learning. Intralingual errors have often been disregarded.

Besides classifying the errors found in the corpus and computing their relative frequency, this study has also established the sources of each error type.

This last task is very important because as Bickerton (1974) pointed out

"We should beware of overrigid methods of error analysis, and remember that the purpose of such analysis should not be merely the classification of different types of error, nor even the establishment of their relative frequencies; these are sterile exercises unless at the same time we are trying to find out why errors are made."

For the establishment of the sources of the errors I have followed the interlanguage hypothesis which, according to Adjemian (1976),

"grew out of the observation that adult learners of a second language, in an attempt to convey meaning, produce speech which differs from the speech of native speakers of the target language (TL) in ways which are not always the result of transfer from the learner's native language (NL)".

The term 'interlanguage' was first used by Selinker (1977) who defined it as "a separate linguistic system based on the observable output which results from a learner's attempted production of a TL norm." The terms 'approximative system' and 'idiosyncratic dialect' have been used by Nemser and Corder to refer to the same concept.

The learners whose works I have analysed in this study were all speakers of the same mother tongue and shared the same experience in learning English as a foreign language. We are thus led to suppose that they have produced the same interlanguage and that the differences which can be found in their written work can be ascribed to individual variation in intelligence, motivation and attitude.

As Corder has pointed out the learner's errors are important because of three main reasons. First, they tell the teacher what the learner has already learned. Second, they tell the researcher what processes the learner employs when he attempts to learn a foreign language. Third, they cannot be avoided because they constitute a necessary stage in the process of language learning, both in the case of the native and of the foreign language.

CRITERIA FOR THE DESCRIPTION OF ERRORS

One of the advantages of using translations from the native into the target language for the purpose of Error Analysis is that the interpretation of the original text by the learner does not present too many problems. The difference between translation and composition, as far as Error Analysis is concerned, lies in the fact that in composition students try to use the most familiar constructions, whereas in translation they are forced to employ the constructions of the original text.

The corpus used in this study consists of fifteen translations from Portuguese into English written by Brazilian students as part of the "Lower Cambridge Examination". The students were all males and the average age was sixteen years. They had already studied English for about five years in British and American Binational Centres or in other language schools.

The translations were first corrected by six native English speakers. Since the correctors didn't know Portuguese, they have not detected errors related to lexical items which were not correct renderings of those in the original text. It was then necessary to elaborate a standard translation based on the original text. It was submitted to two native speakers of English with a good knowledge of Portuguese and to two native speakers of Portuguese with a good knowledge of English.

Johansson (1975) pointed out that the comparison between the original text and the standard translation is important if one wants to calculate the frequency and types of errors. In his view errors can be "avoided by an inexact translation or a translation which is correct from the point of view of the TL, but not a correct rendering of the original text".

According to Corder (1975) the difficulty in detecting errors "lies in the fact that what looks or sounds like a perfectly acceptable sentence may nevertheless contain errors." He defines a covertly erroneous sentence as the one which a native speaker would accept as being superficially well formed but which is not appropriate in the context in which it occurs whereas an overtly erroneous sentence is that which cannot be accepted by native speakers. In the corpus used in this study, most of the sentences containing errors corrected by the native speakers are overtly erroneous whereas most of the sentences containing errors corrected exclusively by me are covertly erroneous.

Since the translations were corrected by more than one native speaker, there were cases of items and structures which were considered as errors by some correctors, but not by others. They were not marked as errors because we cannot require a higher degree of proficiency from foreign learners than from native speakers. An example is the form *acampados* which occurs in the structure *viu um grupo de ciganos acampados perto da estação*. This item was translated in two different ways, i.e., 'camped' and 'camping'. Since both forms were

accepted by the native correctors, they were also accepted by me.

One of the most difficult problems in the field of error analysis is the classification of errors. While some errors would be classified in the same way by different people, others may be interpreted in two or more different ways.

The taxonomy of error types used in this study includes the four categories suggested by Corder (1975), i.e., omission of some required element, addition of a superfluous element, selection of an incorrect element and misordering of elements, as well as misspelling. Furthermore the items involving errors were classified in terms of the different parts of speech, that is, noun, verb, adjective, adverb, conjunction, preposition, determiner, and pronoun as well as in terms of number, case, aspect, and tense.

The advantage of using these different systems of description lies in the fact that the frequency of occurrence of the errors can be calculated either in terms of one system or in terms of a cross-association of two or more systems.

THE CAUSES OF ERRORS

In order to explain the causes of the errors detected in the corpus five categories were established:

> errors due to L1 interference
> errors due to L2 interference
> errors due to L1 and/or L2 interference
> errors due to communication strategies
> errors of indeterminate origin.

Errors due to L1 interference are those the learner makes when he relies on native language structures. An example of this type is the structure 'she swam until die' where the learner used the infinitive in English because the corresponding Portuguese structure *nadar até morrer* contains an infinitive verb form.

Errors due to L2 interference are those the learner makes when he overgeneralizes a target language rule to cases where the rule does not apply. The use of the verb 'swim' as a regular verb in the sentence 'Moema swimmed to follow it' is an example of this type of error.

Errors due to interference of L1 and/or L2 are those the learner makes when he relies on both native and target language structures. The use of the form 'Portugueses' as the plural of the noun 'Portuguese' exemplifies this case.

Errors due to communication strategies are classified according to the three different types proposed by Tarone (1977).

The first is 'topic avoidance' which, according to the same author, "occurs when the learner simply does not talk about concepts for which the vocabulary is not known." The second is 'paraphrase', which is defined as "the rewording of the message in an alternate, acceptable target language construction, in situations where the appropriate form or construction is not known or not yet stable." An example of paraphrase is the use of the structure 'one day after that' to translate the Portuguese structure *no dia seguinte*. The third is 'conscious transfer' and refers to cases where "the learner simply uses the NL term without bothering to translate". An example is the use of the Portuguese noun *ciganos* in the structure ' group of ciganos'.

Errors of indeterminate origin are those which are unsystematic and cannot be assigned to any of the other four categories. Corder (1975) pointed out that "there is ... no way of describing or accounting for something which is not systematic." An example is the use of the simple present in the structure 'he decide to tell her' to translate the Portuguese structure *resolveu contar a ela*.

ERROR FREQUENCY AND ERROR CAUSES

The last step in this study was to compute the frequency of the error types which occurred in the corpus and to establish their correlation to the frequency of the error causes.

In order to compute the frequency of error types and to make a statistical analysis of this frequency, I have used the Statistical Package for the Social Sciences (SPSS) which is an integrated system of computer programs for the analysis of social science data.

The computation of the errors contained in the corpus showed that the fifteen translations contained a total of 644 errors. Table 1 presents the number of errors in each sentence per student. The sentence containing the largest number of errors is sentence 5, in which a total of 234 errors, corresponding to 36,2% of all the errors, occurred. This was probably so because this is by far the longest sentence in the translation. In order to neutralize the influence of the sentence length, in each sentence the percentage of errors was divided by the number of words it contains. Sentences 6 and 7 were thus proved to be the most difficult ones, since they present the highest percentage of errors. These results are also presented in Table 2.

As it has already been stated, the taxonomy used for the linguistic description of the errors made it possible to classify them in syntactical as well as in morphological terms. Table 2 presents a classification matrix where the errors are analysed according to the categories mentioned previously in this paper, which are listed in the vertical line, while the parts of speech are listed in the horizontal line. The results indicate that the most frequent error type is that involving substitution of an item for another within the same word class.

Table 3 presents the number and percentage of errors related either to the different word classes or to the clause. The first column contains the number of times each word class occurred or should have occurred in the corpus. The second contains the number of errors in each part of speech. The third contains the percentage of errors in each part of speech in relation to the total number of errors. The fourth contains the percentage of

errors in each part of speech in relation to the number of times it occurred or should have occurred in the corpus. The last column presents this percentage multiplied by a constant factor to make its total equal to 100. An analysis of the frequency of error types enabled the researcher to make the following generalizations: first, errors involving adverbs, verbs, conjunctions' and prepositions are those which presented the four highest degrees of difficulty (more than 60%), varying from 13.5% to 17.4%; second, substitution of an item for another within the same word class was responsible for almost 50% of all errors (within this category, nouns and verbs were the word classes which presented the greatest incidence of errors, i.e. 49%); third, spelling was responsible for only a very small part of the total number of errors, (2%).

Those observations reveal that the degrees of difficulty related to adverbs, verbs, conjunctions and prepositions were about the same. The high frequency of errors involving adverbs and conjunctions can be attributed to the specific structure of the original text. Therefore verbs and prepositions can be considered the two most difficult parts of the English grammatical system for this group of learners. It is worth noting that this conclusion is confirmed by most of the studies dealing with error analysis in foreign language learning, which have shown that verbs and prepositions are the most difficult areas for students learning English as a foreign language.

THE FREQUENCY OF ERROR TYPES

Most of the Error Analysis studies which present not only the frequency of error types but also the causes of errors have shown that interference from the mother tongue was one of the greatest sources of errors in foreign language learning.

The results obtained by authors such as Aguas (1964), Richards (1977) and Duskowa (1969) are very similar to the ones found in the present study. Table 4 presents the distribution of the different error types according to the five categories established to explain the causes of the errors. The results indicate that more than 40% of the errors were accounted for in terms of interference from the learners' mother tongue; 14%, in terms of the target language; 16%, in terms of both the native and the target language. The remaining errors were classified as errors due to communication strategies and errors of indeterminate origin, (13% each).

It is interesting to note that one of the main sources of the errors classified as substitution of an item for another within the same word class was under-differentiation, i.e., an item in the native language corresponds to two or more in the target language. Arabsky (1968) considered this kind of error as caused by 'external active interference'. One of the examples he gives is the use of the noun 'earth' in a context where 'land' should be used.

This same error occurred three times in the corpus used in this study.

Some of the errors due to interference from the target language may be classified as 'transfer avoidance'. This is a strategy the learner uses to avoid being influenced by his mother tongue. An example is the structure *homem do fogo* which should be translated as 'man of the fire' (a word for word translation). What is interesting about this structure is that among the fifteen students only one produced the correct structure. It is worth noting that errors due to 'transfer avoidance' would never be predicted by means of Contrastive Analysis.

CONCLUSION

One should now discuss to what extent the results presented in this study can be generalized in relation to the frequency of error types and the degree of difficulty of the structures involved. One of the advantages of using translations in an error analysis study lies in the fact that every learner belonging to a particular group is forced to produce the same types of constructions.

It has been pointed out that the frequency of errors should be related to the number of possible mistakes. This will make it possible for the researcher to connect the degree of difficulty of a construction to error frequency. One of the advantages of using translations is that this can be done taking the standard translation as a basis. The results of the application of this mechanism to our corpus are shown in Table 3.

One can state that error frequency should be used as a criterion to measure the faulty performance of a group of learners in specific areas. The results thus obtained may help the teacher to determine the selection as well as the emphasis that should be given to particular items in teaching and testing.

The important thing concerning the attempt to explain the causes of errors in adult foreign language learning is that the researcher can infer the strategies adopted by the learners in their attempt to learn a foreign language.

After having established the causes of the errors, I have observed that the learners have used different kinds of strategies which seem to be common to adult learners in general whatever their mother tongues are.

One should think that errors attributed to interference from the native language would be specific to groups of learners sharing the same mother tongue. However many errors of this kind are common to groups of learners with different mother tongues. This is so because very often the native languages share some of the features related to the errors. An example is the use of the noun 'earth' instead of 'land' by Brazilian as well as by Polish students, due to the fact that in both languages there is only one noun which corresponds to the two English terms.

It has already been pointed out that Contrastive Analysis could be used to explain the errors due to interference from the mother tongue. It has been proved that transfer of native language structures does not occur whenever there is a contrast between the native and the target language structures. Therefore Ioup and Kruse (1977)

"require a new hypothesis defining precisely where transfer is expected and an explanation as to why it is confined to these aspects of language acquisition."

On the other hand errors due to interference from the target language cannot be explained by means of Contrastive Analysis. They can be found in the performance data of learners with different native languages. They are similar to those made by children in the process of acquiring their mother tongue and should be considered as an inevitable stage in foreign language learning.

We can conclude that since the speech of children learning their first language contains many errors, foreign language learners should be allowed to make errors. Errors tell the teacher how the learner progressed and what is left to be learned.

Clark (1975) suggested that "only by allowing errors to occur can we discover any discrepancies that might exist between what the student actually learned and what we intended him to learn."

TABLE 1															
Number of errors in each sentence per student															
	Sentence														
Student	1	2	3	4	5	6	7	8	9	10	11	12	13	Total	%
01	2	0	0	1	12	9	0	2	4	0	0	5	3	38	6,0
02	2	1	1	1	22	13	0	3	7	0	0	1	6	57	9,0
03	1	0	0	1	20	7	0	3	3	0	0	2	4	41	6,5
04	0	0	0	1	8	9	3	2	2	0	0	0	4	29	4,5
05	0	0	2	1	15	12	1	4	5	0	0	2	4	46	7,0
06	1	0	0	1	14	12	2	3	4	0	0	1	7	45	7,0
07	2	0	0	1	16	6	2	2	10	0	0	1	6	46	7,0
08	1	0	0	3	15	7	0	2	3	0	0	2	3	36	5,5
09	1	0	2	1	19	10	3	2	6	0	2	5	4	55	8,5
10	0	0	0	1	14	5	0	4	4	0	0	2	5	35	5,5
11	1	0	0	1	25	13	2	3	4	0	0	2	7	58	9,0
12	2	0	0	1	16	9	0	5	5	0	0	3	4	45	7,0
13	0	0	1	0	14	10	3	3	3	0	0	1	6	41	6,5
14	2	0	1	1	12	8	1	2	2	0	0	1	3	33	5,0
15	1	0	0	1	12	12	1	2	4	0	0	2	4	39	6,0
Total	16	1	7	16	234	142	18	42	66	0	2	30	70	644	100
Number of words	11	3	8	5	64	38	4	15	26	0	1	22	28	226	

TABLE 2										
Number and percentage of errors in each category										
CATEGORY	NOUN	ADJ.	VERBS	ADV.	DET.	PRON.	PREP.	CONJ.	CLAUSE	TOTAL	%
Word order	5	1		8						14	2,0
Tense/aspect			74							74	11,5
Addition	3	2	7	7	7	9	16	24		75	11,5
Omission	10	1	2	4	12	17	2	32	2	82	13,0
Different word classes	9	2	6	7		8	2	3	4	41	6,5
Inflection	13	8	5							26	4,0
Case	16									16	2,5
Substitution	55	4	96	12	22	23	39	20	32	303	47,0
Spelling	1	1	10					1		13	2,0
Number of errors	112	19	200	38	41	57	59	80	38	644	100,0

TABLE 3					
Number and percentage of errors in each word class					
WORD CLASS	NUMBER OF TIMES IT OCCURRED IN THE CORPUS	NUMBER OF ERRORS	PERCENTAGE	DEGREE OF DIFFICULTY (*)	NORMALIZED DEGREE OF DIFFICULTY (**)
Adverb	135	38	5,90%	28,15%	17,48%
Verb	780	200	31,06%	25,64%	15,92%
Conjunction	315	80	12,42%	25,40%	15,77%
Preposition	270	59	9,16%	21,85%	13,56%
Pronoun	360	57	8,85%	15,83%	9,83%
Noun	780	112	17,39%	14,36%	8,91%
Adjective	135	19	2,95%	14,07%	8,73%
Determiner	450	41	6,37%	9,11%	5,66%
Clause	570	38	5,90%	6,67%	4,14%
Total	3.795	644	100%	—	100%

(*) Degree of difficulty means the percentage of errors involving the use of certain grammatical structure or lexical item to the number of times that particular grammatical structure or lexical item was used or should have been used.

(**) Normalized degree of difficulty means the degree of difficulty multiplied by a factor that makes its total equal to 100%.

TABLE 4					
Error types and error causes					
	L1 INTERFERENCE	L2 INTERFERENCE	L1 AND/OR L2	COM. STRATEGIES	IND. ORIGIN
Change of word order	8	6			
Change of verb tense and aspect	11	8	45		10
Addition of superfluous elements	28	10	10	1	26
Omission of essential elements ..	41	11	5	15	10
Different word classes	8	15	7	3	6
Inflection	5	5	15		1
Change of case	2	13			
Substitution of noun	11	3	8	32	1
Substitution of adjective	3			1	
Substitution of adverb	11			1	
Substitution of conjunction	19			1	
Substitution of preposition	34	4			1
Substitution of determiner	8	1	1		12
Substitution of pronoun	19				4
Substitution of verb	51	8	10	20	7
Substitution of clause	18		3	9	2
Misspelling	5	5			3
Total	282	89	104	83	83
%	44,0	14,0	16,0	13,0	13,0

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RECENT TRENDS IN CRITICAL READING METHODOLOGY

Enfoques Recentes da Metodologia de Leitura Crítica

Moderne Richtungen in der Methodologie des Kritischen Lesens

Sônia M. O. PIMENTA *

SUMMARY

This paper makes a survey of recent approaches in critical reading methodology. I start with the discussion of the role of the language teacher and his responsibility as an educator; he must lead students to a critical evaluation of texts, that is, to acquire a critical sense. The present situation of Brazilian schools does not encourage students to read critically. However, important contributions have tried to deal with the problem. Consequently, in this article I review part of the current literature which deals with the teaching of critical reading. The survey contains theoretical issues as well as pedagogical suggestions which give evidence to the need for critical education and thus critical reading.

RESUMO

O presente trabalho faz uma resenha dos enfoques recentes em metodologia do ensino de leitura crítica. Começo com a discussão sobre o papel do professor de língua e sua responsabilidade como educador; ele deve levar os alunos a uma avaliação crítica de textos, quer dizer, a adquirir um senso crítico. A situação atual das escolas brasileiras não incentiva os alunos a lerem criticamente. Contudo, contribuições importantes têm aparecido para tentar sanar o problema. Consequentemente, neste artigo eu considero parte da literatura existente sobre o assunto, ensino de leitura crítica. A resenha contém questões teóricas assim como sugestões pedagógicas que evidenciam a necessidade de uma educação crítica e portanto de uma leitura crítica.

«*A criticidade, como a entendemos, há de resultar de trabalho pedagógico crítico, apoiado em condições críticas... Educador e educando, os dois seres criadores libertam-se mutuamente para chegarem a ser, ambos, criadores de novas realidades.*»

PAULO FREIRE

«*... we... as foreign language teachers, are more liable to meet, but also, perhaps, better equipped to cope with it. I mean the dangers associated with our condition as citizens of a developing country and members of a culture traditionally disinclined to a critical evaluation of facts, especially of foreign imports...*»

SOLANGE RIBEIRO DE OLIVEIRA

Our role as language teachers is not limited to training but it includes an educational dimension. We should also be reminded that as teachers we influence young people on broadening their minds. We have thus responsibility towards these human beings. As Freire has pointed out we are responsible to aid them in their process of awareness in the world, of transforming objects into subjects who will grow and become free. An education which entails the "practice of freedom," is an act of knowing, that is, a critical approximation of reality. This leads us to advocate that our responsibility as

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teachers and of what we owe to society requires that education be critical. All human beings deserve respect and should be thus given the opportunity for growth and fulfillment. As citizens of a developing country we depend on the technological and scientific advances from developed countries. Another point to take into consideration is that as members of a developing country we are also part of a culture which does not encourage to a critical evaluation of facts whether scientific, technological or cultural in nature.

Significant and deep transformations have been taking place in the last few years in the field of teaching reading in English, especially in what concerns reading strategies which have received a great deal of attention. These strategies take into account the reading process and rely on the studies of cognitive psychologists of the mental processes underlying reading and on discourse analysis. The teaching of reading in English has then attained a high standard. In spite of that, the view of reading as mere extraction of information seems to be predominant in current reading literature.

The present situation appears to be valid but not sufficient for it lacks a critical dimension and it might contribute little to the growth of the human being. As Cavalcanti has noticed, the teaching of critical reading is part of what Rogers and other authors call "learning for life," it prepares students to be ready for other dimensions of life. The ability of reading critically may be transferred to other abilities such as oral and written communication and the learning of a foreign language.[1] The teaching of critical reading in our opinion is, thus, essential in our schools. Cavalcanti also points out to the fact that our teaching of reading stops at the point in which students have acquired the ability of decoding, of reading simples texts sentence by sentence. There is no formalized instruction for the development of reading strategies for global comprehension, interpretation and criticism of texts. This instruction focuses on comprehension of the literal meaning of texts but not on what is beyond the information given in the text, that is, the production of meaning from text, taking into account the student's background and the different readings he might produce from the text.[2] She relates the lack of ability in reading to the fact that the majority of our students are trained to comprehend only the literal meaning of texts, through the analysis of sentences and phrases without reaching the point of evaluation and interpretation.

The same situation described above seems to stand for the teaching of reading in English. Reading strategies are taught to the point of comprehension not allowing for evaluation or interpretation that is, for reader-text interaction.

However, some authors have tried to deal with the problem. In this article I will thus make a survey of the recent trends in the teaching of critical reading. It contains theoretical issues as well as pedagogical suggestions presented by the authors although it does not mean to be an exhaustive survey. Since the teaching of critical reading is still at its embryonic stage and current literature is scattered, a multidisciplinary view becomes necessary.

Let us then proced with a brief discussion of the definition of critical reading. Based on studies of critical thought done by D'Angelo, Cavalcanti defines critical reading as being:

> ... the process of evaluation of assertions, arguments and experiences... and it has as necessary conditions: intellectual curiosity, objectivity, open mentality, flexibility, *intellectual* skepticism, intellectual honesty, sistematicity, persistance, power of decision, and respect toward the other's point of view. Critical reading refers, therefore, to the reader's readiness to approach a text in an active manner, without being dominated by it. In other words, the reader will feel at ease to criticize a text only if he does not view the text or the writer as an authority.[3]

The critical reader is, thus, described as a person who is always interrogating the text and exploring different alternatives with curiosity. He is not totally satisfied with the knowledge he has and with the text he is reading. In this manner he produces as well as consumes information, implicit or explicit in the text, without accepting the author and the text as authorities; he interacts with both.

As Carraher points out, the critical reader ought always to have a "critical sense".[4] He describes a person with a critical sense as one who, besides acquiring knowledge in his area of specialization, doubts and interrogates what has been established as true, explores different alternatives by means of reflection and evaluation of evidence. This person, instead of only consuming, is, in this way, also producing knowledge by not accepting the other's ideas passively. This critical reader uses the ability to comprehend as well as to interpret and evaluate. Evaluation includes distinguishing between facts and opinions (since our ideas are not facts), surface meaning (what is explicit in text) and deep meaning (what is implicit) and also the detection of the author's underlying intention when writing a text.

The teaching of critical reading is part of the process of a critical education. There seems to be a great deal of evidence for the necessity of a critical education in the works of Paulo Freire. In the light of his work education should have the human being as its starting point and his growth, in the social context, as its aim. Education is a process of awareness of the integration of the human being with the world, as Freire says, of becoming a subject instead of a mere object, a thing that adapts to the world without integrating with it. This process of awareness is congruent with the process of the development of a critical sense. The more the human being becomes aware the clearer reality and the world seem to him, since the process of awareness in based in the relation "consciousness-

world".[5] For instance, when man becomes aware of his historical process, if he is critical he will denounce the existing dehumanizing situation of the world instead of accomodating, that is, not adapting to the world but integrating with it.

This process of education will enable the human being to find his own identity, to exist in the world with his culture and as a consequence to transform the world and himself, instead of adapting to the already existing world of domination. By *making* decisions, by creating and re-creating the object man becomes a "maker," a transformer of the object. By means of this process he becomes a subject who is not submissive but free.

For the accomplishment of this transformation man-world, there is no place for an education that is not critical. It is an inherent condition for the process of freeing. As Freire points out:

> man becomes a subject by means of a reflection about his situation, about his concrete environment. The more he reflects about his reality, about his concrete situation, the more he emerges fully conscious, committed, ready to intervene on reality so as to change it. An education that seeks the development of the process of awareness and of a critical attitude thanks to which man chooses and decides, frees him instead of subordinating, taming, adapting him, as often does the education in effect in a large number of countries, education that tends to adjust the individual to society instead of promoting him in his own line.[6]

Current education gives tasks to students as ready made recipes which promote a complete massification. It is the man-object we have at our disposal, tamed and adjusted. On the other hand, a critical education is dialectical and active. It prepares the student to be receptive to the new, not only because it is new and to refuse the old not only because it is old. Both are accepted for their validity. A critical education also prepares the human being for responsibility in society.

In this context of critical education, critical reading is at its core. It is an essential condition for this education that frees and contributes to man's growth. The reader comprehends, becomes aware of what he is reading, interprets and evaluates by reacting, questioning and appreciating with a critical sense, that is, not viewing the text as an authority.

We find therefore that critical reading should be taught to our students in our schools from the beginning. They should acquire a permanent critical attitude. It is true that some people tend to be more critical than others. However, it is debatable whether this characteristic is innate. Evidence seems to reveal that this is the result of environmental stimuli or training, even if informal. Therefore, if the teaching of reading is to be complete, it should also develop in the students a critical attitude. This ability should include verifying the facts first, how and why they have been put together by the writer of the text. As Carraher notes:

> ... we need students who are active, who learn early in life how to discover things by themselves, partly by their spontaneous activity and partly by means of the material we lend them; ...[7]

As mentioned before, our schools have the tendency to present mostly facts to our students taking for granted that criticism will come with time and forgetting that reasoning and critical thinking must be set forth. Carraher has noticed that

> An excessive preoccupation of educators with the transmission of facts or alleged facts instead of the development of the student's reasoning has resulted in texts from primary education to university level virtually lacking opportunities for reflection. This body of knowledge is presented as if the great conceptual problems were already solved.[8]

Further evidence for the need to assure a critical education and critical reading in our schools lies in the fact that the scientific neutrality proclaimed by scientists is a myth. The presence of cultural domination, values and ideologies might be traced even in scientific texts, considered rational and objective. Scott, among others, argues that even the entries of an encyclopedia reflect a world view, which is conditioned by social, scientific and political bias of the author and his culture, at least in terms of the selection of facts.[9] Consequently, there is no scientific neutrality.

An example that is cited by Carraher shows that doctors who were treating handicapped babies, referred to euthanasia as the "non-treatment of babies," by means of the "non-supply" of food to these children. He does not use the term euthanasia but only euphemisms. In this manner, the writer of the text presents the concept of euthanasia as if it were neutral, devoid of values. This non-treatment would lead to the death of the babies; in spite of that, the case involving deaths of human beings is presented as a simple, scientific, objective matter.[10] Here, even the choice of topic shows us that the text can not be objective. In some cases, even in extremes as tre mentioned above, since we are unable to evaluate the arguments, and the underlying ideology utilized by the authors, it is natural and justifiable that we agree with the scientist who is an authority in the field. This is one of the many cases pointed out by Holmes where *"the scientist always tries to protect his theory"*.[11]

Vieira goes even further arguing that teachers of reading of scientific texts have acted like spiritualistic mediums in relation to the umbanda priest, the "pai-de-santo." The medium agrees with the "pai-de-santo" in every situation; " 'pai-de-santo' says, it is said." In a similar way the reading teacher has accepted the scientist as an

authority; scientist says, it is said.[12] She points out that:

> Normally we do not even verify if he represses interrogations or if he withdraws from dangerous positions in the same manner as the doctrined mediums with the 'pai-de-santo'.[13]

According to Vieira teachers seem to consider all scientific texts objective; however, this is not the case. This reverence for the text, as Holmes calls it, might hinder our perception of bias, irrationality or political and economic interests disguised as objectivity.

Based on Vigner, Vieira shows that the objective text does not exist, by drawing a distinction between objective text and "objectified" text and defining poliphonic discourse. The objective text is impersonal and universal whereas the "objectified" text is subjective and partial. The objective text transmits a content. There is no risk of loss of information, ambiguity, or presence of the author; priority is given to the exposition of data, steps taken in the research and the results. Neutrality is such that results are identical no matter the author, the place or the moment of the research. In the "objectified" text the social context is taken into account. It is thus, subjective and partial since it is linked to the scientists' world-views. Vieira has noticed that:

> If reality determines the author's or the scientist's situation and his selection of themes, it is comprehensible that a research might appear about the effects of overfeeding in the United States but not in Biafra or in Brazil.[14]

Vieira describes the poliphonic discourse of scientific texts as being subjective and collective at the same time. It contains traces of the author, the "I" (the new) but also a multiplicity of voices, that is, bibliographical references, quotations and consolidated knowledge (the archetypical voice). The result is an intertext which can be a source of subjectivity. The author uses and emphasizes only what he supports and is in accordance with his own ideas. Therefore he chooses what he finds relevant despising what he considers irrelevant for his theory. Another point to be taken into consideration is that normally the scientist does not desire to remain anonymous. Consequently, Vieira postulates *"the inexistence of the scientific text without a subject and axiologically neutral."*[15] Scientific neutrality and objective texts are thus, a myth.

One of the outstanding names in reading is Françoise Grellet. Her book *Developing reading skills* presents systematic and valuable guidelines to the teaching of reading; however critical reading receives only a shallow treatment by the author.

Grellet opens her discussion by defining reading comprehension as *"extracting required information as efficiently as possible, rejecting irrelevant information"*.[16]

Related to reading there are three important points that she accounts for — what, why and how we read. We read different types of texts including books, magazines, maps, dictionaries, directories, etc. for pleasure or for information. On the other hand, we read by means of skimming, scanning, extensive and intensive reading.[17]

Since reading involves a variety of skills, Grellet proposes several types of exercises:

I) To clarity the organization of the passage, exercises about:

— the function of the passage (e.g. convincing the reader)
— the general organization (e.g. argumentative)
— the rhetorical organization (e.g. contrast, comparison)
— the intrasentential relations (e.g. derivation, morphology)
— the cohesive devices (e.g. link-words).

II) To clarify the contents of the passage, exercises related to:

— plain fact (direct reference)
— implied fact (inference)
— deduced meaning (suposition)
— evaluation.[18]

The author also offers for consideration some assumptions that we should bear in mind when producing comprehension exercises. Grellet states that authentic texts with their original layout should be the raw material for reading. Grading should be done in terms of exercises not of texts.

Grellet also assumes that reading is an active skill; it should develop the powers of inference, judgement and appreciation leading to discussion and reflection on the texts for reading has a communicative function.

Throughout the book Grellet offers different reading comprehension exercise types that fall into these categories as follows:

Reading techniques

1. Sensitizing
2. Improving reading speed
3. From skimming to scanning.

How the aim is conveyed

1. Aim and function of the text
2. Organization of the text: different thematic patterns
3. Thematization.

Understanding meaning

1. Non-linguistic response to the text
2. Linguistic response to the text.

Assessing the text

1. Fact versus opinion
2. Writer's intention.

This last section deserves a more detailed discussion. Its main purpose is to assess and evaluate the text so as to make readers aware of the writer's intention, of his point od view and possible bias. It is the critical reading section, which is further subdivided into two sections. In the first one students are trained to discriminate facts from opinions and in the second section activities focus on the attitude of the writer, the particular kind of bias that can be felt through his writing. However, only a few exercises are proposed.

In spite of the existence of this section, emphasis is given to comprehension, that is to extraction of information, not to critical reading. The aspect of teaching of text evaluation is not essential in Grellet's writtings.

John Holmes, in his article "Ensinando Professores a Ler," defines reading comprehension as follows:

> ... to comprehend is not only identifying the communicative importance of the features of discourse. We should perceive not only the logic used by the author, the presentation of the argument and how the author develops it. We should criticize the text and examine the author's ideas concerning our objectives at the time of reading. All this will take us much further than the mere identification of functions or notions and the way they are expressed by the author. However, the task of the traditional language teacher ended here and the controversial subject of the 'reasoning ability', was exclusive to the reader.[19]

According to Holmes, in order to, achieve this reading comprehension the teacher should set forth:

a) Reading strategies which include: skimming, general comprehension, main points comprehension of cohesive devices and hypotheses (indicated by modals or adverbials) and intensive comprehension.

b) Establisinhg the desired level or depth of comprehension.

c) Analysis of the discourse of the text, a minimum discourse grammar.

The final product will be reading comprehension. Its main objective is to guide reader to extract from the text the greatest amount of useful information, instead of information for the sake of information.

Nevertheless, Holmes criticizes the position that reading comprehension is mere extraction of information from the text which upholds:

a) Reverence for the text. Objective knowledge is extracted and registred.

b) Reverence for the author, that is, discover his point of view and purpose in writing the text.

c) The role of the reader is to attain to the text without criticizing, interpreting or "reading between the lines."

d) Selection of texts containing only facts and no problem of interpretation.

The author adds that, teacher or reading in what concerns scientific texts have acted like children looking through a shop window at the chocolate in order to discover their prices. He says that:

> We use all resources we have at our disposal... in order to identify and extract the information contained in the text, without having entered the text or tasted the delicacies that we have identified. In many ways, we have been too humble, too confused by the terrifying role of the scientific text as a vehicle of objective truth.[20]

He also advocates that if we view scientific texts as objective, rational and impersonal there will be no place for what he calls creative comprehension. He calls critical readers those who achieve a creative comprehension through questioning the explicative power of assertions as well.

Another characteristic of a critical reader according to Holmes is the ability to perceive the author's underlying pressupositions in the texts. Either his choice of vocabulary so as to transmit his point of view and reasons for writing, or the use of analogies (similarities or differences) will be evidence for the presuppositions. Selection of texts should be done according to the possibility of a creative reading. Texts that contain plain facts are not appropriate.

Another author I will discuss is Michael Scott and his tenets presented in his article "Lendo nas Entrelinhas."

Scott defines a competent reader as the one who creates meaning that is not explicity indicated in the lines of a text. This competent reader follows maxims that enable him to interpret the coherence of a text. Important factors are taken into account:

a) Use of background knowledge of the reader, knowledge of the world and linguistic knowledge.

b) Comprehension of the co-text, i.e., the internal connection of a text which might be:

— lexical, for example, understand the correct sense of the word "bed" in a text about gardening;

— grammatical, which includes cohesive devices and linguistic markers, the textual components.

c) Use of reasoning abilities:

- Supply of information that is not given, i.e., making inferences either by default or related to the culture.

- Perception of similarities and differences, marked or not by cohesive devices.

- Perception of cause — effect relationships. It is dependent on background knowledge.

- Flexibility of mental adjustment. Scott includes at this point predicting hypotheses and confirming them or not and the processing of ambiguities.

- Perception of non-explicit functions. For instance what looks like a mere question might be a request.

- Perception of irony, comemntary, "dialogue author — reader," ideology. In order to express the ideational component of his message the author sometimes employs adverbials of commentary. However in most cases the commentary is not explicit or it is ambiguous.

- Ability of defamiliarization so as to "tell the forest from the trees" that is, perceiving the global meaning of the text instead of that of individual lexical items.

Finally, Scott proposes a set of rules or maxims that he calls "a la Grice" to be utilized by the reader while trying to read between the lines. He also suggests that teachers ought to discuss with the students the nature of the reading process, and what reading between the lines involves and formulate suitable questions about the texts. Exercises are also proposed so as to set forth this reading between the lines.

John Holmes and Michael Scott reviewed above explain the reading process in terms of communication and reader-text interaction. For both authors the critical reading of texts is imperative. Reasoning abilities should be developed in readers for the purpose of recognition of the manner the author has constructed his text and what he presupposed while writing it. As a consequence the reader will not be dominated by the text but will interact with it. As Holmes mentions, the so called reverence for the text and for the writer will be eliminated. Scott remarks that if the reader succeeds in "reading between the lines" he will uncover the writer's intentions and all underlying presuppositions which include his ideology (not only political ideas but also his cultural values and beliefs).

Solange Ribeiro de Oliveira in her insightful article "Ideology, Education and the English Teacher" reminds us of our role in society as teachers and the aspect to be borne in mind that we owe a contribution to society. As foreign language teachers our responsibility carriers further than just academic concerns. Since we influence what young people will become she argues that our students should be provided with a critical education which would permit them to unveil the underlying ideology of texts and read critically. She refers to ideology in a broad as well as in a narrower and negative sense. The former refers to world views and value systems whereas the latter is related to *"stratified principles meant to justify privileges which are made possible by opression within a given society"*.[21]

Ribeiro de Oliveira also calls the attention of foreign language teachers to the dangers of an uncritical education in a developing country such as Brazil. She says that *"ingenuous acceptance or radical rejection can lead us to indesirable evils: cultural subservience or cultural isolation"*.[22] As foreign language teachers we ought to take into account that passive uncritical reading is more likely to occur, due to the reader's lack of security in the treatment of surface forms as well as to ignorance of the cultural background. In addition to this reverence for the text another important factor *"the ingenuous Brazilian awe of almost anything foreign"* comes into play.[23]

In order to set forth an ideological, responsive, discriminating and critical reading the author quotes the works of Vieira and Holmes (already reviewed in this article) as well as that of Lewins. The latter's article "Reading Between the Lines" suggests that a number of strategies should be utilized so as to achieve a critical reading. In the first place he recommends a pre-view of the text which includes the examination of the material preceding and following the text. A provocative title for instance will indicate an emotional argument and not an objective text. Intertextual elements as well as the bibliography are important at this stage. Another item to be scrutinized is the amount of space devoted to 'pro' and 'con' arguments. Other points to be analysed here would be the author's biographic data, the information about periodicals in which texts are published and date and place of publication.

The next step proposed by Lewins encompasses different levels of abstraction for the analysis of texts. The recovery of linguistic clues as well as of omission of facts and the detection of the presence of irony, which is usually taken at face value, should be taught at this stage. Lewins suggests several exercises to develop the students' ability to read critically such as the underlining of rhetorical questions, emotional or judgemental words or the *"comparison of different reporting of the same event with different ideological bents"*.[24]

In closing, Ribeiro de Oliveira proposes that critical reading be taught at any level even to absolute beginners. She illustrates this fact by referring to her book *A tour of Brazil* in which she inverts the conventional formula of a visit to a foreign country introducing a British anthropologist making a tour of Brazil. A major drawback is that the texts utilized are not authentic ones. They have been especially constructed for the book.

Christine Nuttal centers her discussion of the reading comprehension process in the concept of reader — text interaction. Thus, the final product

of the reading comprehension process will be communication.

This process is represented in the diagram below:
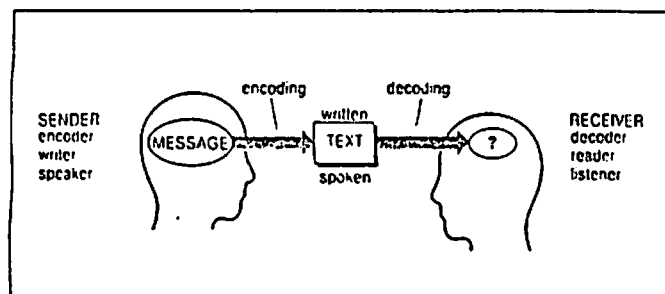
From this standpoint Nuttal defines reading as "... *getting out of the text as nearly as possible the message that the writer put into it*".[25]

Nevertheless, not all meaning gets into the reader's mind. A text that is etasy to a reader might seem difficult to another due to lack of linguistic knowledge or the complexity of concepts expressed by the author. In addition, the occurrence of a mismatch in shared assumptions is also possible, as well as the writer leaving unsaid what he takes for granted but the reader does not. These shared assumptions include all knowledge, experiences, attitudes, beliefs, values and cultural background.

Shared assumptions are represented in the central part of the diagram below; on the right and on the left, we have included, respectively, total lack of shared assumptions, and total overlapping of shared assumptions.
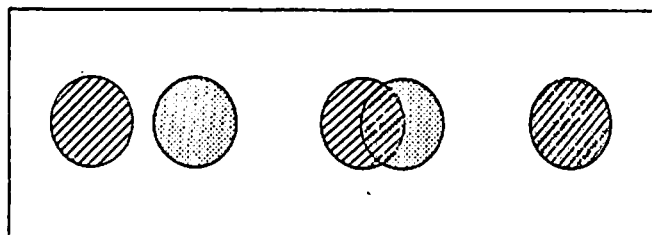
The overlapping area stands for the shared assumptions whereas the remaining area stands for the unshared assumptions. The greater the size of the overlapping area the easier communication and vice-versa. As Nuttal notices:

> If the writer and the reader are closely similar in background, training, attitude and so on the reader is likely to interpret the text with no conscious effort. There are still dangers of misunderstanding, however: a careless reader may read into the text meanings that are not there, simply because his sense of having much in common with the writer is so strong. Such a reader is assuming that the extent of the shaded area — the common ground — is greater than it actually is.[26]

At this point we encounter the concept of critical reading. The reader comes across a difficulty and as Nuttal describes it, he actively interrogates the text, in order to recognize if his assumptions differ or not from those of the writer. Nuttal adds

that a careful reader should be able to reconstruct the assumptions on which the writing is based. He must also make the right inferences about what the writer means and remain objective enough to recognize differences in viewpoint between himself and the writer. This is done through the assessment of all the evidence, that is, the choice of words, the selection of facts and the organization of the material. The objective is to get the message intended by the writer rather than the message the reader might have preferred to receive.[27]

As we have mentioned before, Marilda Cavalcanti posits that in our schools there is a gap between the phase of the acquisition of the ability of reading and the phase of evaluation of this ability. This gap should comprise formal instruction in reading strategies as well as interpretation and critical reading of texts. The teaching of reading strategies and evaluation would include not only literal comprehension but also analysis of the ideas implicit in the text having as a starting point the information present in it and the reader's bacground knowledge. The end product would be the development of a critical sense in our students.

After defining critical reading as the ability to approach a text in an active way without being dominated by it, Cavalcanti enumerates suggestions for the development of the critical sense:

a) lead students to distinguish the different types of reading and their purposes for reading every text;

b) introduce inquisitive questions about the texts;

c) make the readers aware of point of view and attitudes expressed by the writer;

d) teach the students to be skeptical about texts not considering them as authorities.[28]

In closing, David Carraher in his book for social scientists discusses critical reading in terms of the creation of a critical sense in the minds of the readers. He thus defines a critical reader:

> An individual who has the capacity to analyse and discuss problems in an intelligent and rational manner, without accepting, in an automatic way, his own opinions and the opinions of others, is an individual of critical sense.[29]

This critical reader ought to be able to analyse the distortions of discourse found in books, magazines, newspapers, conferences. Critical reading requires a reflection about possible bias that favor certain positions; the social meaning of assertions is not the literal meaning but the interpretation that might be given. Also, arguments, distortions by means of fallacies, different ways of persuading, for example, by using the appeal to an authority or a specialist, so as to make an idea seem valid. Another very important point to be taken into account by a critical reader is the existence of

implicit presuppositions, semantic presuppositions or inferences that are filled by the reader based on his background knowledge and experience.

Carraher also posits that the critical thinker while considering the positions of a certain author, the concepts presented is also evaluating his own coherence, his attitudes, beliefs and values.

Final remarks

In this article, I have reviewed some of the great contributions for the teaching of critical reading. However, the teaching methodology is still at its embryonic stage. I would also like to point out that there is still a great gap between the theory presented here and our classroom reality.. The majority of our students are still far from being "free" as Freire desires them to be. As Cavalcanti has remarked we are still training students who *don't know how to read*.

NOTES

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2 CAVALCANTI, p. 105-6
3 My translation of CAVALCANTI, p. 107.
4 CARRAHER, David W. *Senso Crítico*: do dia-a-dia às ciências humanas. São Paulo, Pioneira, 1983. p. 14.
5 FREIRE, Paulo. *Conscientização*. Teoria e prática da libertação. São Paulo, Ed. Morais, 1980. p. 26.
6 My translation of FREIRE. p. 35.
7 My translation of CARRAHER. xvii.
8 My translation of CARRAHER. p. 124.
9 SCOTT, Michael. Lendo nas entrelinhas. *Lingüística*, São Paulo, *16* : 111, 1983.
10 CARRAHER. p. 127.
11 HOLMES, John. Ensinando professores a ler: o problema da compreensão de textos acadêmicos. *Lingüística*, São Paulo, *16* : 135, 1983.
12 VIEIRA, Else Ribeiro Pires. Leitura crítica de um texto científico. *Anais I Encontro interdisciplinar de leitura*. Londrina: 171-91, 1984.
13 My translation of VIEIRA. p. 171.
14 My translation of VIEIRA. p. 175.
15 My translation of VIEIRA. p. 176.
16 GRELLET, Françoise. *Developing reading skills*. Cambridge, Cambridge Univ. Press, 1982. p. 3.
17 GRELLET on p. 4 defines the main ways of reading as follows: ←— Skimming: quickly running one's eyes over a text to get the gist of it. — Scanning: quickly going through a text to find a particular piece of information. — Extensive reading: reading longer texts, usually for one's own pleasure... involving global understanding. — Intensive reading: reading shorter texts, to extract specific information... involving reading for detail.
18 GRELLET. p. 5.
19 My translation of HOLMES. p. 125.
20 My translation of HOLMES. p. 134.
21 OLIVEIRA, Solange Ribeiro de. Ideology, Education and the English Teacher. *Estudos Germânicos*, Belo Horizonte, *5*(1) : 333, dez. 1984.
22 OLIVEIRA. p. 332.
23 OLIVEIRA. p. 339.
24 OLIVEIRA. p. 346.
25 NUTTAL, Christine. *Teaching reading skills in a foreign language*. London, Heineman, 1982. p. 10.
26 NUTTAL. p. 8.
27 NUTTAL. p. 11.
28 CAVALCANTI. p. 112.
29 My translation of CARRAHER. xvii.

ASPECTOS CULTURAIS DE POVOS DESENVOLVIDOS E SUBDESENVOLVIDOS COMO CARACTERIZADORES DOS SEUS CONTATOS COM LÍNGUAS ESTRANGEIRAS — UMA CORRELAÇÃO POSSÍVEL? *

Cultural Aspects of Developed and Underdeveloped Countries as Characterizers of their Contacts with Foreign Languages — a Possible Correlation?

Kulturelle Aspekte Entwickelter und Unterentwickelter Länder als Charakteristika ihrer Kontakte mit Fremdsprachen: eine Mögliche Verbindung?

Herzila BASTOS *

RESUMO

Este trabalho pretende ser uma investigação sociológica, bibliográfica, quanto às características de auto-imagem (identidade) de povos desenvolvidos e subdesenvolvidos no contexto do neocolonialismo ocidental no qual vivemos. Tal trabalho objetiva elucidar determinadas hipóteses de reações diversificadas desses povos frente a línguas estrangeiras, por exemplo, a) brasileiros que carregam para o aprendizado da língua inglesa o seu sentimento de admiração pela cultura americana ou inglesa ou, exatamente por não concordar com seus valores, não aceitam tal aprendizagem; b) americanos e ingleses que são indiferentes ao estudo de línguas de povos do terceiro mundo ou que têm curiosidade em aprendê-las para verem o exótico desses povos.

Tentar-se-á responder, sem qualquer pretensão de se ter a resposta definitiva, a perguntas como — 'porque todos os povos ex-colonizados, atualmente do terceiro mundo, têm o estigma da preguiça, da irresponsabilidade, da vocação ao fracasso?' 'Seria mera coincidência?'

Num primeiro momento, este artigo levanta hipóteses para, em seguida, em dois tópicos, apresentar um questionamento histórico, baseado na leitura de autores africanos e brasileiros. A seguir a autora consolida suas hipóteses e levanta questões.

SUMMARY

This paper aims at being a sociological and bibliographical investigation as to the characteristics of self-image (= identity) of developed and underdeveloped countries in the ocidental neocolonialism we live in. It is due to an attempt to clarify certain hypotheses concerning different reactions these peoples have in relation to foreign languages. e.g., a) Brazilians who bring to their learning the English language the same admiration they have in relation to the culture of the native speakers; b) American and English people who are indifferent to the study of languages of peoples of the third world or who are curious to learn them to get in touch with the exotic trend those cultures present.

The writer will try to answer, with no intention to have a definite solution, some questions such as — 'Why are all the peoples who were once colonized lazy, irresponsible, prone to failure?' 'Would it be a coincidence?'

At a first step this article raises hypotheses and later, in two sections, the writer presents a line of thought based on the historical questioning of African and Brazilian writers. Then she repeats her hypotheses and raises some questions.

Este trabalho pretende ser uma investigação sociológica, bibliográfica, quanto às concepções que se tem das culturas de países desenvolvidos e subdesenvolvidos econômica e politicamente. Tal classificação de países se ancora no sistema do neocolonialismo, que discutiremos posteriormente. Tentarei fundamentar minha hipótese de que características culturais atribuídas a esses países podem vir a explicar as reações diferenciadas que seus povos e segmentos sociais apresentam face ao ensino de

línguas estrangeiras, sejam elas dos 'dominadores' ou dos 'dominados' no contexto do neocolonialismo. Sendo assim, poderíamos levantar a hipótese de que a reação de povos subdesenvolvidos frente a línguas e culturas de povos desenvolvidos compreende duas atitudes opostas — como nos apontou Solange Ribeiro de Oliveira (1986) — e uma intermediária: um deslumbramento pela cultura estrangeira, o que acarreta um exacerbamento dos valores daquele país e de sua língua, em detrimento do nacional, estando esta postura em total oposição à de uma resistência ideológica inexpugnável a tudo o que venha do povo que supostamente 'subjuga' os nativos do país subdesenvolvido. Essa xenofobia direcionada contra o 'dominador' pode causar problemas a uma nação em desenvolvimento, além de perpetuar as ligações de dominação, uma vez que os mitos não se desfazem. A indiferença pela cultura estrangeira seria a atitude intermediária que mencionamos. Por outro lado, povos desenvolvidos podem apresentar uma postura de indiferença ou de curiosidade pelo exótico da cultura e da língua de países subdesenvolvidos.

Estou ainda tentando uma forma empírica de provar a existência de uma relação entre esses dois fatores (reações frente às culturas estrangeiras e posturas frente às línguas desses povos). Daí esta investigação ser por enquanto uma pergunta. Contudo, este trabalho seria o meu primeiro esforço no sentido de correlacionar os dois fatos, apesar da falta de bibliografia no que se refere ao segundo fator a ser tomado — as posturas. Na verdade, só tenho conhecimento de um trabalho de pesquisa, realizado pelo Professor Luiz Paulo Moita Lopes, da UFRJ, sobre atitudes de professores de Inglês do Rio de Janeiro face ao ensino que ministram, segundo o qual a maioria deles apresenta deslumbramento pela cultura estrangeira. Minhas observações sobre este tópico serão, então, basicamente fruto de minhas próprias experiências.

Creio que uma visão mais clara de fatos históricos e sociais que possam explicar o status atual atribuído às culturas nacional e estrangeiras muito venha a contribuir para um posicionamento mais consciente frente ao ensino de línguas estrangeiras em particular e frente ao ensino de forma geral. Um questionamento do ensino como um todo faz-se necessário uma vez que inegavelmente a educação, como forma sistemática de transmissão de cultura, tem muita relevância no forjar da maneira de pensar de um povo, corroborando mitos ou derrubando-os, sendo questionadora ou meramente reprodutora de valores já existentes nas formas assistemáticas de transmissão cultural (tradição oral, comunicação de massa, etc.). Se queremos nos educar e ao nosso povo, precisamos tentar entender *porque* reagimos de determinada maneira e porque nos sentimos tão bem ou tão mal com isso. Apenas possuidores, como nação, desse conhecimento, teremos a chance de verdadeiramente escolher um caminho a seguir. Enquanto nos julgarmos tristes vítimas de um determinismo cultural e etnológico sem explicação, jamais nos sentiremos capazes de uma escolha madura, mesmo se a estivermos fazendo — o germe da desconfiança e da auto-punição estará sempre presente.

As citações deste trabalho vindas dos autores africanos Fanon e Memmi terão necessariamente uma perspectiva histórica do terceiro mundo. Creio na importância de a história ser contada pelo lado dos ex-colonizados, de uma forma madura e crítica. Autores brasileiros como Nelson Werneck Sodré e René Dreifuss também serão citados neste trabalho de reflexão, na mesma tentativa de uma contraposição de suas visões à oficial, passada nas escolas, onde nenhum fato histórico é explicado, *cada qual envolto numa densa névoa de impessoalidade,* como denuncia a autora Ana Lúcia Goulart de Faria (1987:33):

'tudo vem do céu para a terra e não da terra para o céu. Vontade aqui também é a-histórica. O que permite concluir que o homem tem a sociedade que merece.

... nem sempre é o homem que faz a história, as coisas acontecem por acaso. Os verbos 'surgir' e 'aparecer' são muito usados no seu caráter impessoal justamente porque não há processo histórico.' (Ideologia do Livro Didático)

Existem coincidências históricas entre a África e a América em termos de colonização. Fanon (1979) chega mesmo a lamentar que os países africanos não tenham aprendido com as experiências da pós-independência na América do Sul. A nossa situação no Brasil difere apenas um pouco da que nos fala Moffat (1975):

'Toda latinoamerica sufre a cuatrocientos años del descubrimiento y la conquista, de una situación de oposición y sojuzgamiento entre los europeos 'civilizados' y los nativos 'barbaros'. La Argentina sufrió un proceso especial dentro de Latinoamérica, debido a que la población indígena fue en gran parte eliminada y absorbida genéticamente quedando el país (y especialmente Buenos Aires) con una gran proporción de población blanca europea.' (1975:75)

Na verdade, cada povo tem a sua vertente especial nesse processo global de colonização, concebido como ocupação produtiva (Sodré; 1985:5). Este autor nos diz que no caso do Brasil houve uma civilização totalmente transplantada, a classe dominante sendo composta pelos portugueses e a dominada pelos negros escravos. Os nossos índios foram relegados a um papel irrelevante:

'... outro tipo de áreas coloniais é definido por aquelas em que já existe produção e até comércio: são as orientais, e, em parte, as africanas. Os elementos destinados à empresa de colonização, isto é, de ocupação produtiva — no caso do Brasil — provêm do exterior, são para aqui transplantados, tanto os senhores — os que exploram o trabalho alheio — como os

trabalhadores — os escravos. Uns vêm da Europa, em reduzido número, outros da África, em avultado número, quando a empresa produtora parece acabada, quando em pleno funcionamento. Assim, provêm do exterior tanto os elementos humanos como os recursos materiais. A empresa se destina, a enriquecer os que exploram o trabalho, a produção se destina a mercados externos. Está condicionada, historicamente, pela etapa da manufatura: só quando a produção, no fim do medievalismo, evolui do artesanato, ampliando-se na manufatura, surge a necessidade histórica do mercado mundial, e, portanto, das grandes navegações e descobrimentos marítimos. A contribuição da nova área é apenas a terra — abundante e inculta. A colônia torna-se objeto porque, para a produção, só pode proporcionar o objeto. Numa produção transplantada, e montada em grande escala, para atender exigências externas, surge naturalmente uma cultura também transplantada.' (1985:5)

Contudo, chamo a atenção para o fato de que este estudo quer focalizar muito mais as implicações do processo da colonização no momento presente do que num passado colonial, apesar da ligação inegável entre eles. Repito que uma abordagem histórica dialética, no sentido que dá voz aos povos ex-colonizados para que eles contem a sua história, é necessária para um entendimento dos aspectos sociológicos que nortearam as culturas de países desenvolvidos e subdesenvolvidos a adotarem as identidades (auto-imagens) que apresentam hoje e que me parecem determinantes de suas reações frente a línguas estrangeiras. É este o objetivo deste trabalho: questionar a existência desta correlação.

I — PRIMEIRO MOMENTO: DICOTOMIA COLONIZADOR X COLONIZADO NOS PAÍSES DE TERCEIRO MUNDO DURANTE O PERÍODO COLONIAL

a) *Características e artifícios empregados pelo colonizador na colônia*

Segundo MEMMI, (1977) motivos puramente econômicos levaram o colonizador a expatriar-se, apesar de ele falar também em aventura e no pitoresco da nova vida. Contudo, como o autor pergunta,

'Porque não procurou esses aspectos na Arábia ou simplesmente na Europa Central, onde não se fala sua própria língua, onde não encontra um grupo importante de compatriotas seus...? (p. 25).

O autor também constata:

'... as cabeças pensantes da burguesia e da colônia tinham compreendido que o essencial da colonização não era nem prestígio da bandeira, nem a expansão cultural, nem mesmo o controle administrativo e a salvação de um

corpo de funcionários. Admitiram que se pudesse transigir em tudo, desde que o principal, quer dizer, as vantagens econômicas, fosse salvo.' (p. 23)

Através da subversão das normas vigentes, que devem se ajustar a uma nova ordem de exploração, o colonizador torna-se um usurpador, não apenas aos olhos do colonizado, quanto aos seus próprios. Nesse ponto começa um jogo de imagens no qual o colonizador luta para legitimar, inclusive para si mesmo, a todo custo, a sua usurpação. Diz MEMMI:

'Como pode a usurpação tentar passar por legitimidade? Duas operações parecem possíveis: demonstrar os méritos eminentes do usurpador, tão eminentes que clamam por semelhante recompensa; ou insistir nos deméritos do usurpado, tão graves que não podem senão suscitar tal desgraça. E esses dois esforços são de fato inseparáveis. Sua inquietude, sua sede de justi-esta série de equívocos, a nível interno vivencia-se a dominação de classes, com as mesmas características da dominação a nível internacional. É nesse contexto de escamoteação da verdade que os povos se inserem e aprendem línguas estrangeiras.

Baseado neste estudo bibliográfico e na nossa experiência, poderíamos lançar as seguintes hipóteses: povos de países desenvolvidos, sentindo-se superiores aos de países subdesenvolvidos, podem ver-se curiosos por conhecer a identidade exótica e estereotipada dos países em desenvolvimento, da qual têm notícia desde o tempo em que essas nações eram colônias. Podem também apresentar uma postura de indiferença frente a esses povos, cônscios da falta de seriedade que os caracteriza.

Por outro lado, nos países de terceiro mundo, por razões históricas, o problema pode se complicar e três posturas podem aparecer em relação às línguas dos povos desenvolvidos:

a) a burguesia nacional, altamente beneficiada por sua situação de intermediária, sente-se identificada e incentiva a identificação com a cultura estrangeira, especialmente aquela que mais diretamente influencia nas decisões nacionais. Essa classe apresentaria uma postura de deslumbramento face a essa cultura.

b) a classe média, cuja característica é o trabalho não manual, apresentaria seu auto-retrato depreciativo quanto aos povos desenvolvidos, herança atávica dos tempos coloniais, perpetuado na atualidade através de propaganda, do controle de informações, do sistema educacional seguindo os padrões de impessoalidade e de postura acrítica frente aos fatos históricos e da própria crença em auto-imagens estereotipadas. Contudo, essa classe, indecisa entre aceitação e rejeição da burguesia, parece se subdividir quanto a suas posturas: há uma fração que pende a denegrir a imagem da burguesia, apesar de sustentá-la com seus conceitos e trabalhos intelectuais. Essa classe média tem valores que a levam a depreciar essa burguesia, valores estes religiosos, éticos e ideológicos que recriminam a riqueza e o esbanjamento. Essa fração pode apresentar resistência ideológica contra a língua e a cultura do

'dominador'. O seu complexo de colonizado se resolve pela negação da metrópole, pela abolição de tudo o que venha de lá. Por outro lado, a outra fração admira a burguesia, inveja-a e deseja para si o poder que ela tem em suas mãos. Essa fração apresentaria deslumbramento pela cultura estrangeira. Para esses, há uma tentativa de aculturação. O complexo de colonizado seria resolvido pela identificação com os valores da metrópole.

c) a classe trabalhadora (maior parte das nações do terceiro mundo) tem sua auto-imagem depreciativa marcada em relação à burguesia e, por extensão, à classe média. Para essa classe não há preocupação *direta* de confronto de imagens com o estrangeiro. Sua dominação psicológica é dupla e a mais imediata (da burguesia nacional) já é tão forte que nem lhe permite vislumbrar a outra. Essa classe apresentaria indiferença pela cultura estrangeira.

Ao lançar estas hipóteses, estou também dizendo que a postura de um americano ou inglês será diferente ao estudar Francês do que o seria ao estudar Espanhol. Supostamente haverá reverência pelo Francês e indiferença ou curiosidade pelo exótico da chamada 'cultura latina'. Do mesmo modo estou implicando que um brasileiro estudando Inglês ou Francês reagirá diferentemente de como reagiria estudando Espanhol. Provavelmente haverá indiferença pelo lado cultural do último estudo, devido ao separatismo de povos irmãos, explicado por FANON (1979).

Estas hipóteses ainda não estão comprovadas. Este estudo é também uma reflexão sobre o ensino em geral e o de línguas estrangeiras em especial. Creio que o quadro de determinismo étnico, desânimo e de auto-depreciação não se alterará enquanto a educação não perder a sua postura acrítica e não apresentar os fatos políticos e sociológicos dentro de uma perspectiva dialética na qual se conheça as várias versões do mesmo acontecimento e não apenas aquela que já vem veiculada pelas formas assistemáticas de transmissão de cultura.

O ensino de línguas não escapa a essa característica norteadora do nosso sistema educacional, mas insisto que esse ensino pode, ao lado principalmente da Comunicação e Expressão, da História e das Ciências Sociais, contribuir para uma postura mais realista do nosso povo frente às nossas potencialidades, por razões óbvias, também advogadas pelo professor Moita Lopes, da UFRJ: o objeto de estudo é, em si, uma oportunidade de conhecermos culturas estrangeiras criticamente, estabelecendo relações quanto a porque nos vemos deste jeito e a eles daquele outro (ou do mesmo jeito que nós, no caso de culturas de povos de terceiro mundo).

Considero o ensino crítico de Inglês, num momento de dominação ideológica dos povos de origem dessa língua, de fundamental importância. Uma

xenofobia em relação a esses povos agora somente perpetuaria mitos. Seria tão mau quanto a exposição deles de forma deslumbrada. Neste último caso pelo menos esses mitos estão aí, na nossa frente, para que os enfrentemos de forma madura. Acredito que a escola possa e deva ser usada para esta desmistificação.

Se essa postura de escamotear a verdade não se alterar, o estudo de línguas de povos de terceiro mundo, como o Espanhol, seria muito danoso, uma vez que não se exploraria o imenso potencial de conhecimento e força de união e identificação que poderia advir desse estudo. Ao contrário, como os povos latinoamericanos apresentam as mesmas dificuldades históricas e ideológicas que nós, este estudo seria no máximo a confirmação de que os povos latinos, sem exceção, não têm solução, jogando-nos mais profundamente ainda no determinismo étnico e cultural, isto *se* os alunos se interessarem pela cultura desses povos.

O nosso objetivo deveria ser o de uma aula de língua estrangeira, seja ela qual fôr, em que houvesse conscientização cultural, contrastiva produtivamente, com base na história, tudo isto visando um crescimento no sentido de uma maturação cultural nacional legítima, baseado no auto-conhecimento real e não no auto-achincalhamento ou auto-valorização inseqüentes.

Um bom modo de se chegar à cultura de um povo é a sua literatura. Pelo menos esta é a crença geral, da qual compartilho. Cabe uma pergunta: não estará a literatura eivada de auto-imagens equivocadas e estereotipadas? Creio que deve-se fazer uma tentativa de aumento do espírito crítico do aluno de tal forma que ele perceba as nuances de auto-imagem tanto no estudo de língua quanto no de literatura. Cabe a quem lidar com estes dois objetos de estudo saber ler além das palavras também no sentido cultural e histórico e não apenas no estritamente gramatical ou literário.

Creio que deve haver preocupação com o assunto enfocado neste trabalho para que, ao menos desconfiados de ter encontrado uma possível explicação para nossas reações culturais como um todo, possamos fazer, como nação, uma escolha entre sermos deterministicamente preguiçosos, despreparados, etc., país inviável, ou uma nação que entende porque apresenta esses estigmas, sente onde estão os problemas e tenta resolvê-los conscientemente. Ou, como implica MOFFAT (1975): parar de 'empujar un bote desde adentro del bote', mas ver o problema objetivamente, com distanciamento. Para tal, o entendimento de como chegamos a tal situação é imprescindível. A história contada por Sodré, Dreifuss, Moffat, Fanon e Memmi, além de outros, não pode ficar restrita a quem lida com Sociologia ou Psicologia, apenas. Tal história deveria ser de domínio público.

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A NEW YORKER'S IDIOLECT CONTRASTED TO THE DIALECT OF NEW YORK CITY

Comparação entre o dialeto de um Nova-iorquino e o Dialeto da Cidade de Nova Iorque

Ein vergleich zwischen dem Idiolekt eines New Yorkers und dem Dialekt von der Stadt New York

Neuza Gonçalves RUSSO *

SUMMARY

The aim of this paper is to make a comparison between the dialect of a New Yorker and the dialect of New York City. Such a comparison includes solely pronunciation and vocabulary because regional variation occurs mainly in these two levels and relatively little in grammatical forms and syntactical structure.

RESUMO

O objetivo deste trabalho é fazer uma comparação entre o idioleto de um nova-iorquino e o dialeto de Nova Iorque. Esta comparação inclui apenas pronúncia e vocabulário porque variações regionais ocorrem principalmente nestes dois níveis, havendo relativamente poucas variações nas formas gramaticais e nas estruturas sintáticas.

I — INTRODUCTION

The aim of this paper is to make a comparison between the idiolect of a New Yorker and the dialect of New York. Such a comparison will include solely pronunciation and vocabulary, because regional variation occurs mainly in these two levels and relatively little in grammatical form and syntactic structure. We are, first of all, going to present some outstanding points concerning the pronunciation and vocabulary of New York City, such as the vowel of words of the *ask* group, of the *log, frog* group; the palatalization before / u :/ in words such as *due, new, tube*, etc.; the presence or abscence of / r / in postvocalic position, that is, the *r-full* or *-r less* speech of New Yorkers, etc. Then, after analysing the informant's speech, all the differences and similarities concerning pronunciation and vocabulary will be mentioned. In addition, some factors which may have influenced the informant's speech will be discussed. These will include education, significant travel, occupation, and factors involved in the eliciting of the material, such as the rather careful pronunciation used in the formal situation of an interview or in the reading of a text.

The informant's dialect will be considered not only from the point of view of a regional dialect but also from the viewpoint of a social dialect. In his discussion of the dialect differences within American English [1] McDavid alludes several times to the existence of class differences as well as regional differences and those based on foreign language ancestry. According to the regional differences, our informant's dialect is placed among the Northern dialects, that is, the dialect of New York City. Following Fries, Kurath and others who recognize three main types of social dialects: cultivated speech, common speech and uneducated speech, John Smith, our informant, may be placed among those who have cultivated speech. By cultivated speech McDavid means the speech of those who have had educational and social advantages, normally four years of college or beyond, and hold a position of esteem or at least of responsibility in the community. This group includes most educators, most professional people, most people in the high rank of civil service, in short, most of those whose occupational and social obligations require continuous skill in the use of the language. So, having John Smith a superior education and being a teacher, his speech is considered cultivated.

II — THE DIALECT OF NEW YORK CITY

Before starting to present the characteristics of the speech of New York City, we will briefly comment on some aspects which are considered of great importance for the developing of the work. Such topics include the meaning of dialect and its main causes, the meaning of idiolect, and some of the characteristics of the whole area in which New York City is situated. A comment about those

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aspects of pronunciation and vocabulary which are common throughout the country is also worth noting.

In his article "Variation in language," Bruce Liles refers to the total features of a person's grammar as his *idiolect*. He says that each rule and vocabulary item a person possesses will be shared by other speakers of the language, but no one else will have his exact combination. It is the combination of rules and vocabulary items a person has which makes his idiolect unique, not the individuality of any part of it. As it has been said all idiolects must have many aspects that are similar, otherwise understanding would not be possible. A collection of similar idiolects constitutes a dialect. The term dialect has been used to refer to quite distinct varieties of the language. It is sometimes used to indicate the non-standard or the provincial form of a language; it is sometimes also used for the speech of educated men and women. Some use the term to describe the speech of the younger generation, others use it to describe the speech of the older or the old fashioned.

According to McDavid,[2] "dialect is simply any habitual variety of a language, regional or social." Bronstein (1960) also says that dialectologists think of the term dialect today as "merely a variety of language more or less different from other varieties of the same language."[3] The term includes the language habits peculiar to an area or a section of the country, including the standard usage. It may be the variety spoken by the educated, like "Received Standard".[4] It may be essentially the speech of the uneducated as Cockney is the speech of the uneducated Londoner. It may be regional, as the speech of the North or South of the United States. Particularly in the United States it may have both regional or social dimensions: educated American speech has many regional varieties — South Texas, Boston, The Houston Valley, Iowa, Vermont, but in any region, Boston, for instance, the speech of the natives will have some common characteristics regardless of social level, though in each region educated speech will differ from the uneducated.

Dialectologists agree that the United States does not possess a socially preferred standard of speech as is found in England; nor is there one geographical standard that is considered more acceptable than another. Each dialect or subdivision within that dialect has its own standard. To some persons, a standard of speech used by educated Bostonians or Chicagoans might be considered preferable. However, Bronstein points out that no such general preference exists. He says that the speech of educated Bostonians is no more standard than the educated speech of Tulsa and the educated patterns of speech of Chicago or Charleston are not more acceptable than are those of New York. The speech an American uses is, then, considered standard if it reflects the speech patterns of the educated persons in his community. Furthermore, researches show that the language used from region to region is much more alike than it is different.

The differences should, then not be exaggerated. The various standards are in close agreement regarding verb forms, comparison of adjectives and adverbs, pronoun cases, agreement of subject and verb and of pronoun and antecedent. In spoken English the differences between one social class and another within a given region are usually much greater than those among the various regional standards throughout the English speaking world. As far as written English is concerned, there is close agreement as to what is standard. Thus, it is common sense that all dialects are equally systematic, and there is no linguistic reason to prefer one over the other. But it is also agreed that although this point is true, anyone who is unable to use the prestige dialect is severely limited professionally and socially, not because of any features of the language, but because of popular attitudes.

McDavid reports in "The dialects of American English" (1958) that, occasionally, the explanation for dialect differences is simple, attributable to a single force, oftener it is more complex and may be explained only by a combination of forces. Among these, he mentions the influence of the early population of an area; the old political and eclesiastical boundaries; physical geography, the influence of cultural centers on less important communities, the social structure of an area, cultural innovations, the presence of immigrants with a different linguistic and cultural background, etc.

In order to observe and establish these dialectical differences in grammar, pronunciation and vocabulary, to determine their regional and social distribution and to seek their historical and cultural explanation, some procedures must be followed. A trained investigator collects the data in selected communities by means of a questionnaire especially devised for this purpose. The investigator consults representative informants of each community, recording the interview, which is conducted in a conversational situation, or as near to a conversational situation as is possible. The informality of the interview is necessary so that the informant uses his normal patterns of stress and intonation and is not too cautious about avoiding forms he thinks are incorrect. Free conversation is usually encouraged, especially as a source for the grammatical items.

Through these and other types of dialectical studies, it has been noted as Kurath points out in his "Word geography," that the vocabularies of the arts and sciences, of industries, commercial enterprises, social and political institutions are national in scope because the activities they reflect are organized on a national basis. Kurath goes on saying that "enterprises and activities that are regionally restricted have, on the other hand, a considerable body of regional vocabulary. The cotton planter of the South, the tobacco grower, the dairy farmer, the wheat grower, the miner, the lumberman, and the rancher of the West have many words and expressions that are strictly regional and sometimes local in their currency".

One may observe that regional and local expressions are most common in the vocabulary of the intimate everyday life of the home and the farm not only among the simple folk and the middle class but also among the cultured. Such typical vocabulary includes food, clothing, shelter, health, the day's work, the farm buildings, the weather, the crop, etc. The vocabulary will, then, reveal differences between the rural and the urban life; it will reflect the organization of the family and the political, social and religious structure.

It is not only in the vocabulary that one finds regional differences in American speech. There are pronunciation features as well. To illustrate, we will briefly, mention some of the characteristics which are common to each of the three main areas: North, Midland and South. Throughout the Northern area, for example, the distinction between [O] and [ɔ] in such word pairs as *horse* and *hoarse* and *mourning* and *morning* is generally maintained; [ʂ] regularly occurs in grease (verb) and greasy, and *root* is pronounced by many with the vowel of *wood*. Within the Northern area such sub-dialects as coastal New England and Metropolitan New York also show many characteristic forms. The treatment of the vowel of *bird* is only one of these, and words of the *calf, pass, path, dance* group constitute another.

In the Midland area speakers do not distinguish between *hoarse* and *horse*. Rounding is characteristic of the vowels of *hog, fog, log, wasp* and *wash*. The vowels of *due* and *new* will resemble that of *food* rather than *feud*.

In the South, *r* is lost except before vowels, as it is in eastern New England and New York City, but not in the Northern area, generally. Words like *Tuesday, due,* and *new* have a y-like gliding preceding the vowel.

We shall now deal with the main characteristics of the New York City dialect concerning pronunciation, vocabulary and syntax, but before that we shall group the subdivisions of the three main areas. As it is shown by most of the studies in American dialectology, in the North the principal area is that which separates coastal New England from Western New England, New York State, and the territory to the West. In general, this boundary follows the line of the Green Mountains, the Berkshire Hills, and the Connecticut River. The Metropolitan New York area consists of a broad circle with the city itself at the center; the Hudson Valley area encompasses the original Dutch settlements in New York and northern New Jersey, spreading into northeastern Pennsylvania.

The midland area is divided into northern and southern sub-areas, the line of demarcation being just a little south of the Old National Road in Ohio, Indiana and Illinois. Within the Southern dialect region, the Virginia Piedmont and the Delamarva peninsula constitute distinct sub-areas. Below we have all the subdivisions of the three major areas, being New York City placed among the sub-areas of the North:

The North

1. Northern New England
2. Southern New England
3. South Western England
4. Upstate New York and Western Vermont
5. The Hudson Valley
6. *Metropolitan New York*

The Midland

7. The Delaware Valley (Philadelphia)
8. The Susquehanna Valley
9. Upper Potomac and Shenandoah Valley
10. The Upper Ohio Valley (Pittsburgh)
11. Northern West Virginia
12. Southern West Virginia
13. Western North and South Carolina

The South

14. Delamarvia
15. The Virginia Piedmond
16. Northeastern North Carolina
17. The Cape Fear
18. South Carolina

Baugh (1963) thinks that it is best to recognize seven regional dialects in the United States: 1. Eastern New England, 2. New York City, 3. Middle Atlantic, 4. Western Pennsylvania, 5. Southern Mountain, 6. Southern and 7. General American.

New York City, a focal area,[5] is considered by the majority of the dialectologists a subdivision of the North. Baugh says that, although, it is often considered a part of the Eastern New England dialect, the speech of New York City and adjacent counties is on the whole quite different. Hubbel (1950) considers that except for a small minority of New Yorkers, divergencies from the New England pattern are far more numerous than similarities. While it has generally lost the *r*, except before vowels, *cot* and *caught* are phonemically contrasted [kɑt], [kɔt], since the o in words like *cot* and *top*, before voiceless stops, is almost always unrounded. The pronunciation of *curl* like *coil, third* like *thoid* is the characteristic most distinctive of New York City in the popular mind, although it should be added that among cultivated New Yorkers *curl* and *coil* are phonemically distinct [kɜʃl], [kɔʃl].

Some speakers in New York City use [D] for the *wa* words, but most speakers use /ɑ/: [wɑndɚ, wɑsp, wɑtʃ], but [wɔtɚ]. /ɑ/ is preferred in the "r-less" areas of New England, New York City and the South. In words in which o is preceded by velar k , g or ŋ , as in *frock, hog, frog, log,* /ɑ/ predominates in New York in uneducated, common and cultivated speech, with occasional [O]. [ɑ] is also heard in *foreign, orange* and *borrow*. For almost all speakers [ɔ] is the first element of the diphtong for those words with historical long o plus

r pronounced [ɒə], [ɒ ə r], [ovə], [ovər] in other parts of the country. Such speakers make no distinction between *for* and *four*, *morning* and *mourning*, *border* and *boarder*, *horse* and *hoarse*. The pronunciation of [ɒ] instead of [ɔ] has been noted in New York City: *fought*, *called*, *Laura* [fɒt], [kɒld] and [lɒrə]. The levelling of the sounds /ɒ/ and /ɔ/ to [ɔ] is normal to almost all speakers in New York, Boston and Baton Rouge. Actually many speakers in New York and some in Eastern New England use the [hɜrʃ] forms too. [ɜ] is the r-less vowel sound of *third* found in New England and New York City and the South. The retroflex [ɝ], an r-coloured [ɜ] is the symbol used for stressed syllabic /r/ in the remainder of the country and by some in New York.

[ɚ] is the sound of unstressed syllabic /r/ heard in such words as fath*er*, do*er*, latt*er*. It is the r-coloured lax, central vowel heard in such syllables throughout the country, except in the *r-less* areas of the country: the South, Eastern New England, and for many, the New York City area. In these areas [ə] is its normal variant. Thus, unstressed [ə] and [ɚ] vary as do the stressed and high central vowels [ɜ] and [ɝ]. As it has been said above, in New York City and the South, the [ɜ] may be diphthongized to become [ɜɪ] or [ʌɪ], and occasionally to [ɒɪ] or [ɔɪ] in such words as *third*, *earl* and *learn*. The diphthongs are not limited to the speech of the illiterate, the foreign-born, or the lesser educated, although they are commonly heard in all three instances. Many older native speakers, with fine educational and social backgrounds, use one or more of these diphthongal forms. However, as it has been shown above, most speakers in both areas use [ɜ] or [ɜə], avoiding the so called "faulty diphthongs." The common educated forms are [ɜ], [ɝ] or [ɜə].

Initial or medial *oi,oy*, as in *oyster* or *boil* may be heard as [ɜɪ], [ɜf] or [ɝ] in less cultivated speech in New York City area, so that the words may be heard as [ɜɪstə -ɝstə; bɜɪl —bɝl]. This is not as common a substitution in less cultivated speech as the [ɜɪ] for [ɜ] of *bird* and *third*. Educated speakers in New York area who may use [ɜɪ] for [ɜ] do not substitute [ɜf] for the *oi — oy* words. In their speech, *curl* and *coil*, *oil* and *earl*, *foil* and *furl* are not homonyms.

In rapid careless speech, [ɔf] before *l* may be shortened to a monophthongal [ɔ] or [ɔf]. "The boiled eggs were spoiled" may sound like [bə bɔld eɡz wɝ spɔfld]. A raised and lengthened [ɔf] is heard in *lawn*; [uw] is heard in *won't*.

While the sound [e] is heard in cultivated, common and uneducated speech in words like *Mary* and *dairy*, the same speakers have a raised and lengthened [æᵉ] in *pan*, *can*, *tan*, etc. There is actually no complete consistency, either in the same regional area, nor in the speech of a given individual. New Yorkers use [ɛə] in the words *fairy*, *fair*, *wary*, *where*, *there*, *beware*, *care* and *pear*, etc. but both [æ] and [e] are commonly heard in *Barbarian*,

Sarah, parent and *various.* The sentence "Harry married Mary in the area of the stairs," for instance, would sound like [hærɪ mærɪd mɛərɪ ɪn ðɪ ɛərʃə əv ðə stɛəz].

Below we have a list of some words and their pronunciation by educated speakers in New York:

far, barn [fɒə, bɑɴ]

poor, third [pvə, θ3:d]

Others say

[fɑɝ,bɑɝᵗɴ]
[pvɝ,ɵɝᵗd]

hog, frog, dog [hɑg,frɑg , dɑg]

occasionally

four, [hɒg, frɒg, dɒg]
hoarse [fɔ,fɔə,fɔɝ]
[hɔ:ʃ,hɔəs,hɔɝʃ]

park, [pɑ:k,pɑək,pɑɝk]
farm [fɑ:m,fɑəm,fɑɝm]

ask, dance [æsk , dæns]

orange, foreign [ɑrɪndʒ, fɑrɪn]

worry, courage [wʌrʃ, kʌrʃdʒ]

nice, [naɪs ,nɑɪʃ]
blind [blaɪnd ,blɑɪnd]

With regard to consonantal phonemes some points concerning the pronunciation of New York must be shown. In careless or indistinct speech, the /t/ and /d/ may be lost especially when final or in certain clusters: *eight*, for instance, is pronounced /ɐɪθ/. After *n* and before an unstressed vowel /t/ and /d/ may be dropped. Ex.: *twenty* /twɛnɪ/. The substitution or the actual deletion of the *th* sound occurs in certain difficult clusters. The words *fifths*, *sixths* and *months* may sometimes be enunciated as [fɪ fs] or [fɪfts], [sɪks] or [sɪkts], [wʌns] or [wʌnts]. Of course, such phenomenon does not occur only in New York City, but almost throughout the country in excessively rapid or careless speech.

The cluster [hw] is not regularly used in the speech of most in New York City and in certain sections of the East. The words *when* and *where*, for instance, would be pronounced [wɛn, wɛə]. Hubbel reports, in his book *The pronunciation of English in New York City* (1950), that, those New Yorkers who consistently use [hw] are rather rare, and those who do, seem to have consciously adopted the sound.

Words like *tune*, *duty* may be pronounced [tʃun, dʒutɪ,] often [tun, dutɪ], but occasionally [tjun, djutɪ].

Hempl's research shows that there is a greater tendency to use voiceless *s* in *grease* and *greasy*. Massachussets, like New England and the North generally favours s in the adjective and the verb. According to Hempl (1971) the incidence of [s] and [z] in these two words is primarily dependent on the geographical location of the speaker, rather than on his social or educational level. So, [s] is, in general Northern, and [z] Southern, being [grɪs] and [grɪsɪ] the pronunciation in New York City.

Another pronunciation that is frequent in uneducated and common speech in New York is the use of /d/ instead of /ð/ in some words. *This*, for instance, would be pronounced [dɪs], and *them* [dem].

As to morphology, syntax and vocabulary only a few examples typical of New York will be given. We may find "he lives *in* King Street" and "we stood *on* line" in uncultivated, common and cultivated speech. While these three groups use *dominic* for *preacher*, *pot cheese* for *cottage cheese* and *-kill* for *small stream* in proper names only, in the rural area, in common and uncultivated speech *barrock* is used for 'haystack', *suppawn* for 'corn mush' and *skimmeton* and *skimmilton* for 'mock serenade'.

From what has been said up to now, one may observe, mainly in respect to pronunciation, how inconsistent it is. Within a single area two or three different pronunciations may be heard for the same word. Sometimes a single individual, ·as it will be seen in the next section, pronounces the same word in more than one way, perhaps due to several types of influence such as the ones mentioned in the previous section.

III — THE INFORMANT'S IDIOLECT

Before discussing some of the aspects of the informant's idiolect so that we may compare it with the features of the dialect of New York City, presented in section II, we will briefly mention some important points about his bibliographical data, such as significant travel and the communities in which he has lived. We think that these points are quite important since they may have influenced his way of speaking.

John Smith, a thirty-five year old man, was born in New York, where he lived for thirty years. He also lived in Los Angeles, California for one year. He graduated from New York University and was working as an English teacher in Brazil at the time of the interview. John Smith travelled to Japan, Vietnam, England, France, Germany and Italy. His parents, who were also born in New York, have superior education. His maternal grandparents as well as his paternal grandparents, however, were Italian.

A questionnaire divided into four parts was presented to John Smith, being both the questions and the answers recorded. An additional recording with the informant reading both the questions and answers was, then, made so that the fieldworker had further information about his pronunciation. This questionnaire is being used as part of an on-going project at the Center for American English, Illinois Institute of Technology. With this questionnaire A. L. Davis and Lawrence M. Davis are attempting to sample the major standard English dialects of the United States and Canada. The first part of the questionnaire contains two hundred and thirty nine questions including items such as ordinal and cardinal numbers, the days of the week, words referring to the climate, to daily affairs, food, parts of the human body, etc. The questionnaire was devised in such a way as to elicit words which are present in almost any study of American dialects. These lists include, for instance, *curl* and *coil*. *collar* and *caller*, *pen* and *pin*, *cot* and *caught*, *pool* and *pull*, *ladder* and *latter*, *mourning* and *morning*, etc. Such a procedure will lead us to verify if these pairs of words have different vowels or if they are homonyms in the informants' dialects. The second part of the questionnaire contains a list of words, which the informant was supposed to read. This list would confirm the informant's previous pronunciation or show inconsistency in the uttering of some words, that is, different pronunciations in different parts of the interview. As the third part, the interview contains some words which have already been elicited in the first part. To finish the interview, a few minutes of connected speech should be elicited from the informant. He should talk freely about an incident where he was in great danger, or about any interesting experience connected with his school occupation or even a TV story or a movie. Unfortunately, due to a technical flaw in the recording of the material, the last part of the interview, which would show characteristics of the informant's syntax and morphology was not recorded. Thus, our concern, here, will be only with the informant's pronunciation and vocabulary.

In order to interpret the collected material we shall use the vowel and consonantal charts presented by Gimson in his book *An introduction to the pronunciation of English* (1970)[6] as well as the phonetic alphabet devised by the same author. Beginning with the high front vowels /iː/ and /ɪ/ we have noticed that the informant's data present this contrast: *beat* is pronounced [bit] and *bit* [bɪt]. Other words which have the short vowel /ɪ/ are: mirror, whipping, sister, widow, with, etc. Unlikely speakers of some other dialects, who pronounce *pen* and *pin* as homonyms, John Smith presents the contrast /e/ — /ɪ/ in /pen/,, /pɪn/. The words: *bet, met, deaf, bread, dead* all have /e/. All the *ask* group has the low front vowel /æ/: ask, dance, can, pan, path, cab, bat, Mary, ash, answer, last, rafter, calf, half, while the contrast /e/ — /æ/, which is not present in some dialects, is also shown by Smith in the following words: Mary — merry; bat — bet; marry — merry, etc. The words January and February are also pronounced with the /æ/ vowel. It is interesting to note that there was inconsistency in the pronunciation of some words, which were pronounced differently in the various parts of the interview. The word *aunt*, for instance, was pronounced /aːnt/ and /ænt/; the first time the proper name *Mary*

was pronounced, it had the vowel of *marry* and the second time it followed the *merry* group. The word *genuine* was also pronounced differently in the two recordings: /dʒɛnuɪn/ and /dʒɛnjuaɪn/.

Let us now turn to the central vowels /ə/, /ɜ:/, /ʌ/ and /ɑ:/. The words *first, third, furniture, purse, worm, girl, church, nurse, sermon, curl, syrup, stirrup,* all have the mid central vowel /ɝ/. The words *curl* and *coil* are not homonyms in the informant's idiolect. They are pronounced /kɝl/ and /kɔɪl/ respectively. All the three words *furry, hurry,* and *worry,* however, have the mid central vowel /ʌ/, which also appears in *butt*. /ɚ/ is present in all final unstressed syllables which contain *r*: *farmer, former, collar, caller, scissors,* etc. It is also inserted between a diphthong and the consonantal sound /l/ in words such as: *boil, coil, wail* and *whale*. The low central vowel /ɑ:/ is present in the following words: *father, card, barred, far, sari, heart,* etc. The contrast /ɔ/ — /ɔ:/ is also present in the informant's idiolect. Thus, while the group *log, dog, fog,* as well as the words: *frost, frog, sorry, closet, chocolate, watch, wash, orange, Florida, moth, forehead, strong, college, hospital, cot, cob, Tom, hod, hot, palm, balm, bomb,* all have the short low back vowel /ɔ/; the words *porch, scorch, coarsely, morning, mourning, daughter, horse, hoarse, caught, caller, fork* have /ɔ:/. From the above pronunciation, one may observe that while the words *horse* and *hoarse, morning* and *mourning, balm* and *bomb, wore* and *war* are homonyms, *cot* and *caught, sorry* and *sari, collar* and *caller* are not. Concerning the high back vowels /u:/ and /ʊ/ we may notice that the informant presents this contrast in the words *pool* and *pull,* and words such as *room, broom, roof, tooth,* which may have both vowels according to different speakers, have /ʊ/ in the informant's dialect. Other words which have the /ʊ/ sound are *wool, butcher, root, wounded, book, stood, pushing,* etc. The words *spoon, hoops* and *music,* however, have /u:/. The group: *new, tube, chew, due* does not have the semivowel /j/ before the /u:/ sound. So they are pronounced /nu:/, /tu:b/, /tʃu:/ and /du:/ respectively. *Tuesday, suit* and *during* are also included in this list: /tu:zdɪ/, /su:t/, /dʊrɪŋ/.

Considering the diphthongs, it may be observed that some vowel clusters are not present in the informant's speech. Among them we may cite /æʊ/, /əʊ/ and /ɛə/. On the other hand the diphthong /ɔə/ appears in words such as *poor* /pɔə/ *pour* /pɔə/ and *pore* /pɔə/, being these three words homonyms. While a great number of Americans pronounce the final sound of the names of the week like /ɪ/, the informant has /eɪ/ in his dialect: *Monday* /mʌndeɪ/, *Tuesday* /tu:zdeɪ/, etc. The words *plow, house, pounds, mouth, drowned* have the diphthong /aʊ/. The diphthong /oʊ/ instead of /əʊ/ is present in the following words: *coat, stones, home, yolk, won't, shoulders, hotel, boat* and *goes*. The diphthong /ɪə/ is heard in *beer, dear* and *beard*; and a triphthong in *hired, fire, boiled* and *coil,* which are pronounced /haɪɚd/,

/faɪɚ/, /bɔɪəld/ and /kɔɪl/, respectively. Where some Americans would have the diphthong /ɛə/, which is more common in British English, the informant has the pure low front vowel /æ/: *chair, scare, bare, dairy, care,* etc.

In relation to consonantal sounds and consonantal clusters, some important points must be mentioned. A voiced variety of /t/, which is commonly heard in all regional areas of the country is also present in the informant's dialect. Some phoneticians have labeled this an allophone of /t/ and called it voiced *t*. Others consider it an allophone of /d/. From the material collected, we may see that this allophone, which is also called flap [ɒ] occurs in a) intervocalic position before an unstressed vowel: *latter, ladder* (being these two words considered homonyms in the informant's speech), *attic, beautiful, butter, thirty, forty, water,* etc.; b) preceding a syllabic /l/ as in *Beatle, little*; c) between unaccented vowels as in *put it on*. As Bronstein reports in his book *The Pronunciation of American English* [7] (1960), this voiced variety of /t/ varies freely with the voiceless variety in educated speech, but in more formal situations and when the speaker desires greater precision of speech, the use of the voiceless variety is common. Perhaps, due to this, we find both varieties in the informant's speech. While he uses the voiced variety in the above words, he uses the voiceless one between /n/ and unstressed vowel as in *twenty* /twɛntɪ/ and *seventy* /sɛvɛntɪ/.

Like the majority of people in New York, the informant pronounces *grease* and *greasy* with /s/: /grɪs/, /grɪsɪ/. Unlike most speakers in New York City, the /r/ sound is pronounced in all positions in the informant's speech: *far* /fɑr/, *chair* /tʃær/, *third* /θɝrd/, *purse* /pɝrs/, *tired* /taɪərd/, *morning* /mɔːrnɪŋ/, *hard* /hɑrd/, etc. While a *linking r* may be heard in "... answer in a hoarse voice" /ænsər ɪn ə hɔrs vɔɪs/; "fear and horror" /fɪər ən hɔrɔr/, "an hour or more" /ən aʊər ər mɔr/, etc., there is no *intrusive r* in "the idea of it" /ðɪ aɪdɪə əv ɪt/.

As to *wh* words, it may be observed from the pronunciation of the words *white, whipping, whooping,* and *wheelbarrow,* that the *h* does not sound. So, words such as *whale* and *wail* are homonyms in the informant's speech.

Perhaps due to the formality of the situation, almost all clusters were clearly pronounced, there having no substitutions and deletion of sounds. So, the *th* was distinctly pronounced in all ordinal numbers: *eighth* /eɪtθ/, *fifth* /fɪfθ/, etc. An exception is the word *moths,* which was pronounced /mɔts/.

We shall now consider the pronunciation of some isolated words. It is interesting to note that *either,* for instance, was pronounced /aɪðər/ rather than /i:ðər/; *garage* was pronounced /gərɑ:dʒ/ and the word *chocolate* was pronounced in two different ways, with initial /tʃ/ and with initial /ʃ/: /tʃɔklət/, /ʃɔklət/.

With regard to vocabulary there are no striking aspects worth mentioning. With only a few excep-

tions, the vocabulary elicited from the informant coincided with the vocabulary presented by the questionnaire. For a *small stream* the informant gave the word *brook*, instead of *creek*. The other items which differed were: *bench* instead of *porch*; *drying* in the place of *ironing*; *burned* for *scorched*; *straps* for *hoops*, *steeple* for *roof*, *wake* for *funeral*, *wheelbarrow* for *hod*, and *guest* for *caller*. It does not seem, however, that this is due to dialectical differences.

In concluding this section we may consider the main aspects of the informant's pronunciation. We feel that he has tried to be as clear as possible, pronouncing all sounds carefully with no deletions, substitutions, and other characteristics of common or uneducated speech. Even characteristics of informal styles were absent from his speech.

Concerning vowels, the main points are: the use of the low front vowel / æ / in words of the *ask* group and the *chair, care* group; the vowel / ɔ / in the *log* group; the insertion of / ə / before / ɫ / in words like *boil* and *coil*; the contrast / ɔ /, / ɔː/ in words like *pot, port*; the contrast / ʋ /, / u:/ in *pull* and *pool*; the absence of a y-glide in the *new* group; the diphthong / ɔə/ in words like *poor*; the diphthong / ɔʋ/ in *coat, stone*, etc., / ɪə / in *beer, dear* and / eɪ / as the final sound of the days of the week.

As to consonantal sounds the main features are the r-full speech, the absence of /h/ in words of the *wh* group, the voiced variety of /t/ in some words, the /s/ in *grease* and the clear pronunciation of most consonantal clusters.

IV — COMPARISON BETWEEN THE DIALECT OF NEW YORK CITY AND THE INFORMANT'S IDIOLECT

In this section we will compare the idiolect of our informant with the data collected from the dialect of New York. We will deal, at the same time, with the similarities and differences, but only the main points concerning vowels and consonants will be compared. By comparing both vowel systems, we may observe that the distinction between *curl* and *coil*, which is present in the pronunciation of most educated speakers is also present in our informant's speech. He never pronounces *curl* as *coil* or *third* as *thoid*. On the other hand, / ɑ / predominates in the speech of New York, for words of the *frog, log* group, while the informant has the vowel / ɔ / for the same words. Other points which are similar are the pronunciation of the *horse — hoarse; morning — mourning* group, such words are homonyms in both the informant's idiolect and in the dialect of New York and the pronunciation of the *hurry, worry* group, which has the / ʌ / vowel. The pronunciation of / ɒ / for words such as *fought, called, Laura*, which has been noted in New York City, is not present in the informant's idiolect. He uses [ɔ :] instead. The monothongal [ɔ] instead of / ɔɪ / is not present in his speech either. The word *boiled*, for instance, is pronounced /bɔɹəɫd/, not /bɔɫd/. While many speakers in New York

City have the schwa sound in unstressed syllables followed by *r*, such as fath*er*, do*er*, batt*er*, our informant has / əɾ /: /fɑːðəɾ/, /bætəɾ/, etc. Another common point is the pronunciation of the words of the *ask* group, which are in both dialects pronounced with the low front vowel / æ /. Words such as *fair, there, care*, which may be heard with three different vowels /ɛə, æ, e / in New York City, have the vowel / æ / in the informant's dialect.

As to consonantal sounds we may note that there is an agreement in the pronunciation of *grease* and *greasy*. The pronunciation with /s/, which is heard throughout New York, is also present in the informant's idiolect. While most of the New Yorkers have an -r less speech, the informant's idiolect is -r full, that is, *r* is pronounced in all positions in the word. Words of the *tune, duty* group, which may occasionally be pronounced with the semivowel /j / in the dialect of New York, is never pronounced with such a y-like glide by our informant. Perhaps due to his excessively careful pronunciation, the informant has not deleted or substituted sounds throughout the interview, except for the word *moths*, which has been pronounced / mɔts/. So, the deletion or substitution of the *th* in such difficult clusters as / tθ/, / sθ/, /fθs/, which is quite common in rapid speech throughout the country, has not occurred during the interview. The deletion of *t* in *twenty* or *seventy*, which is also common, has not occurred either. The cluster /hw/, which Hubbel (1950) considers to be of rare use by speakers of New York, is not present in the informant's speech, words like *wheelbarrow*, for instance, were pronounced /wiːlbæɾoʋ/.

There are, then, some aspects in the informant's pronunciation, which are in complete agreement with the current pronunciation of New York City, at least, with the pronunciation of the majority of educated speakers, who have cultivated speech. So, many of the differences noted are so considered not in relation to the pronunciation of the educated, but in relation to common or uncultivated speech.

V — CONCLUSION

In concluding the work, we shall summarize what has been done, recognizing, first of all, that as the field work has not been completed, we did not have enough material to make a complete comparison. Possible peculiarities of the informant's dialect related to morphology and syntax could not be studied as it has been previously explained. But due to some quite important factors already mentioned, as the informant's background, his superior education and cultivated speech, we may infer that the two aspects referred to above are probably in conformity with the considered standard dialect of New York City, that is, the speech of the educated people of the area. The informant's pronunciation is a good point to base our observation because as it has been sufficiently said, his speech does not include substitutions and deletions of

sounds or other characteristics not pertinent to the standard speech. However it is worth noting that some factors may have interfered for the excessively careful pronunciation of the informant. Among these factors we may cite the fact that he has not used rapid speech and perhaps due to his professional position as a teacher, he has tried to show a greater precision of speech. In addition, we must not forget that even trying to be as informal as possible, a field worker and an informant are, most of the time, engaged in a formal situation.

NOTES

1 MCDAVID JR. The Dialects of American English. p. 480, 491, 492, 534.

2 MCDAVID JR. British and American Standard and Nonstandard. p. 92.

3 BRONSTEIN, p. 39.

4 RP (Received Pronunciation) is basically the educated Southern British English. This preferred pattern of dialect is found in use today all over England, possessing no real distinctive or local flavor. It is the dialect spoken by the educated leaders of England, a dialect not of region but of the highest social status. It is the speech commonly used by parliamentary leaders, bankers, industrialists, and professionals.

5 A focal area is one which because of its political, commercial, cultural or other importance has influenced the speech of surrounding areas.

6 GIMSON, p. 93, 144.

7 BRONSTEIN, p. 74-5.

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NEWSPAPERS AND MAGAZINES: USEFUL AIDS IN THE CLASSROOM

Jornais e Revistas: Recursos Úteis em Sala de Aula

Zeitungen und Zeitschriften: eine didaktische Hilfe in der Klasse

Vera Lúcia Menezes de Oliveira e PAIVA *

SUMMARY

The first part of this paper presents a series of arguments advocating the use of newspapers and magazines in the classroom. Besides being a permanent source of education, this medium presents a variety of authentic communication materials which can be usefully handled in foreign language classes. The second part provides a list of activities as suggestions for teachers to develop with students of different levels.

RESUMO

A primeira parte deste trabalho apresenta uma série de argumentos que advogam o uso de jornais e revistas, em sala de aula, pois, além de fontes permanentes de educação, contêm uma grande quantidade de material de comunicação autêntica. Tais recursos são de utilização · eficaz em aulas de língua estrangeira, sendo apresentada uma série de sugestões de atividades na segunda parte deste trabalho.

Newspapers and magazines are undoubtedly responsible for making the world smaller as far as media, in general, lessen the distance among the countries, being highly responsible for cultural renewal, changes in one's way of life, the death of certain habits and the birth of new ones. It is therefore important to bring the press into the classrooms and handle this kind of material in a wider range of varied activities.

It is inconceivable, nowadays, to accept traditional education based only on texts from the past, either literary or didactic. Past values should be compared with the present ones, so that the new generations may settle in and adjust themselves to our present world. We live the present; from the past we take the lessons, but our hardest task is to learn how to cope with the present, analyzing, criticizing and judging the facts, and finally taking the positions which we think are the correct ones.

Journalism is a permanent source of education and, in the moment school promotes the habit of reading newspapers and magazines, it will be asserting the continuity of a democratic education, open to everyone who wants to participate in it, without prejudices and social or economic restrictions, as real subjects of the educational process and not as second fiddles in the orchestra.

Every academic subject can be helped by this vehicle as a source of new information. Today's history, lived day by day, is well spread out through the pages of newspapers and magazines. The new discoveries, in the different fields of science, are issued every day. Political events, information about contemporary literature, literary criticism, reports about the edition of important books, etc., etc., can be found in various newspapers and magazines.

The "longing for knowing" is a basic need of human beings. It does not matter what: things like gossips, facts, recipes for living well, cooking recipes, social and political news, the up-to-date technological inventions, all of this, and even more, is part of our universe of curiosity. Whenever the press satisfies people's curiosity, it is, at the same time, giving its contribution for the individual formation. The ·reader gets to know facts, makes up his opinions, guides himself, and fills his mental files with more topics to feed his conversation.

Newspapers and magazines are good instruments for debates, and it is in the quest for solutions that the press language dresses itself with the characteristics of fight and disagreement, printing in the paper the constant search for the satisfaction of human needs such as love, comfort, justice, applause, happiness, etc.

Besides informing and therefore forming the person, this kind of reading has also the aim of making the reader enjoy himself. One can easily find comic strips, puzzles, jokes, horoscope, etc. There is also a variety of plastic treatment given

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to words and a variety of linguistic registers since we can find all kinds of writings: poetry, reports, synthetic news, essays, letters, telegrams, abstracts, advertisements, and so on.

We all know that each communication medium undergoes the pressure of certain dominant forces, which may be political or economical. Researchers have demonstrated that the great majority of the readers does not believe entirely in what they read. *Critical readers always doubt the truth of the reports* because they are generally stuffed with personal and/or biased opinions. On the other hand, powerful countries do interfere in the way "under-developed" countries see the world. As they have the control of information, they affect our press without great efforts. Newspapers as "Le Monde", "The New York Times", "The Economist", and "The Times" are permanent sources of information for South American newspapers. Instead of going straight to the facts, the editors/reporters feed themselves with information gotten from foreign newspapers and magazines, and readers see the facts through the eyes of other countries.

Thus, it is important to create in our students the habit or reading different kinds of newspapers and magazines, so that they can see the two sides of the coin and avoid the ideological influence of this or that vehicle.

So far we have discussed the general importance of newspapers and magazines for the global formation of a person. In foreign language classes proper, the use of printed media is a way to put students in contact with meaningful and contextualized language. Among the goals which such material may achieve are the following:

— to handle authentic communication materials;
— to bring present information into the classroom;
— to be in contact with the target culture in order to collate cultural attitudes and values;
— to increase vocabulary;
— to develop creativity through creative activities;
— to study syntactic and semantic aspects in real context.

Newspapers and magazines may sometimes present difficult obstacles, even for teachers. The Sports Section, for instance, may present words from a register we cannot understand either because of a gap in our language mastery or due to cultural problems — we know that popular sports vary from culture to culture and it is really difficult to read about some specific sports like golf or baseball, for example. The selection of material is then of highest importance and the teacher must be sure that:
— the material presents a subject which fulfills the students' expectations and real interests;
— the text fits the level of the class;
— all the vocabulary problems can be solved.

From now on, I would like to present some suggestions of activities for teachers to develop with students of different levels. Although some sugges-

tions involve more than one skill or knowlegde, they will be listed under the following "headlines": listening, speaking, vocabulary, reading, writing, grammar and literature/style.

I — LISTENING

The teacher may:

1. read a series of headlines and ask the students to copy words which rhyme with a certain sound;

2. read a text aloud and ask the students to write down the physical characteristics of a person, the adjectives used to describe a place, etc.:

3. give students extracts of a news report with some missing words to be completed after the teacher's reading of the text;

4. give students a group of headlines and ask them to number each one according to the sequence of the teacher's reading of the corresponding "leads";

5. divide the class in groups, say, four groups of four elements. Each group will receive a news report or a different version of the same news. After reading and discussing the main points of the news, students are asked to change places and the new group must have a student from each previous group. All the students will then make an oral report of the news previously read and answer all the questions asked by the other elements of the group;

6. ask the students to answer the following questions: Who? What? When? Why? How? after the teacher's reading of a news report.

II — SPEAKING

The teacher may:

1. Give the students schedules of TV programmes in order to have controlled conversation, e.g. student A asks student B what he is going to watch on TV that night;

2. ask the students to spell headlines;

3. give the students news reports and ask them to justify the choice of the headline. They may also be asked to suggest other possible headlines;

4. develop a "drama" lesson having a news report as departure;

5. ask the students to read headlines aloud in order to practice intonation (the weak forms generally come in small letters);

6. ask the students to work in pairs after reading the Social Column. Student A asks students B when a famous person was born, who died that day, what Mr. X is celebrating, etc.

III — VOCABULARY

The teacher may:

1. ask the students to look for words and expressions in English (or another foreign language) in Brazilian newspapers. The students can be asked to

    a) explain the meaning of the words and expressions in the target language;

    b) try to find corresponding expressions in Portuguese;

    c) study the prefixes and suffixes and/or some other kind of word formation;

2. ask the students to look for cognates in foreign newspapers and magazines. They can also look for words which are familiar to Brazilian students;

3. ask the students to collect words from headlines and then separate the parts of the words (prefixes and suffixes) by means of a pair of scissors in order to form new words, trying out new combinations;

4. ask groups of students to solve crossword puzzles (dictionaries may be used or not);

5. ask the students to find out taboo words and euphemisms for themes like "death", "illness", "homosexuality", etc.

6. ask the students to analyze the language used to describe weddings, burials, birthdays, baptisms, etc. in order to find out the vocabulary which appears most when such events are reported;

7. ask the students to select, in a group of similar reports, the adjectives employed to support prejudices, tendencies, attitudes and opinions;

8. ask the students to make a list of foreign words to detect influences of other languages;

9. ask the students to read the "headline" and then find in the "lead" similar or opposite meanings.

    e.g. MR. X MURDERED...
    Mr. x was killed yesterday...;

10. ask the students to make a list of phrasal verbs found in news reports with their corresponding meanings.

IV — READING

The teacher may:

1. ask the students to read ads selling or renting houses and then try to make a design of one of the houses;

2. give the students news reports followed by photographs and ask them to underline, in the written text, all the words and expressions which have something to do with the photograph;

3. give the students texts followed by wh-questions and/or yes/no questions, multiple choice exercises, True and False, diagrams to be filled in, sentences to be completed, etc., in order to check comprehension;

4. ask the students to make predictions after reading the headline and then, after scanning the text, underline the predicted words which appear in it;

5. ask the students to separate real information from opinions;

6. ask the students to compare news reports on the same topic, from different newspapers and magazines, in order to find out differences and similarities;

7. ask the students to rewrite a news report presenting opinions which are opposed to those found in that report;

8. ask the students to delete obvious information in a text. e.g. Ronald Reagan, *the president of the USA*;

9. ask the students to find out, in a given newspaper or magazine, texts which inform the reader, try to convince the reader to do something and others whose function is just to entertain the reader;

10. give the students a series of reports of the same event, in sequence, and ask them to separate the new pieces of information from the old ones.

V — WRITING:

The teacher may:

1. ask the students to fill in all kinds of coupons;

2. ask the students to write full descriptions of houses, flats, etc. after reading ads about them;

3. give the students headlines or synthetic news and ask them to write a report using proper adjectives and relative clauses. (It would be better if the students were given news already published in their native language);

4. ask the students to write letters to magazines and newspapers in order to criticize, give opinions, ask for information, complain, etc. The students may also be asked to play the role of an editor and answer the reader's letters.

5. ask the students to write telegrams of congratulation to those who are celebrating their birthdays, or other kinds of telegrams;

6. ask the students to reduce an interview into a small dialogue, keeping the basic meaning;

7. ask the students to transform a dialogue into a narrative and vice-versa;

8. ask the students to write a single text by joining up all the information or new facts about a certain event the students have read about during a period of time;

9. ask the students to translate headlines from Portuguese into English and vice-versa;

10. After reading a news report about a protesting act, students may 'be asked to write down sentences which might have been used during the protest. Ex. "Go away!" "Keep out of our temples!*

VI — GRAMMAR

The teacher may:

1. give the students schedules of TV programmes and ask them to make up sentences to practice verb tenses, for instance:
   e.g. BBC1 is going to show FAME at 7.40 today.
   Londoneers watched FAME yesterday;

2. ask the students to read Social News and then write questions such as "How old is...?" "When was... born?" Papers will then be exchanged with a partner and answers provided;

3. ask the students to complete the headliness with the deleted items. (copula, for example);

4. ask the students to find out the deep structure of the headlines;

5. ask the students to find illustrations for grammatical rules, e.g. Verbs followed by the gerund;

6. ask the students to find out grammatical deviations, e.g. it is common to find the subjunctive form "were" replaced by "was";

7. ask the students to make a list of verbs used to report speeches;

8. ask the students to find out similar attitudes from different countries and then make up sentences with "so" and "neither" patterns.

VII — LITERATURE/STYLE

The teacher may:

1. ask the students to find poetic devices in the headlines (rhyme, alliteration, etc.);

2. ask the students to identify the metaphors and separate the original from the overused ones;

3. ask the students do detect ambiguities in the headlines;

4. ask the students to make a list of clichés;

5. ask the students to find intertextuality. For example, "Big Brother", from "the Brave New World", is a common expression found in newspapers and magazines;

6. ask the students to analyze poems and short stories published in newspapers and magazines;

7. ask the students to find out the elements of tragedy in criminal news;

8. give the students a criminal news report and ask them to analyse the text as if it were a literary text by means of psychoanalysis approach or any other approach;

9. guide students into the identification of "indirect speech acts", for instance, find the disguised menaces in a speech;

10. ask the students to find out rhetorical devices as hyperboles, antithesis, etc.

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* This idea belongs to the teachers Lucilia, Josimar, Angela and César, my students during my Methodology course at PUCMG, in July 1987. They gave me permission to publish it.

DISSERTAÇÕES DEFENDIDAS NO CURSO DE PÓS-GRADUAÇÃO EM LETRAS

MESTRADO: INGLÊS

Nome do autor: *Luiz Otávio Carvalho Gonçalves de Souza*

Título obtido: *Mestre*

Instituição: *Faculdade de Letras da UFMG*

Nome do orientador: *Else Ribeiro Pires Vieira*

Título e subtítulo do trabalho: *"An alternative guideline for the teaching of English as a foreign language in secondary schools in Belo Horizonte"*

Ano de conclusão: *1987*

Nº de páginas: *169*

Sinopse:

It is a well known fact that the teaching of English as a foreign language in secondary schools has not been effective. Among other things, current teaching sets out to develop the four linguistic skills. However, students reveal a poor command of the language in whatever skill considered, which breeds poor motivation and lack of interest. Therefore, the ultimate aim of this thesis is to provide suggestions for the improvement of EFLT in secondary schools in Belo Horizonte. So as to reach this aim, we first discuss some theoretical issues such as language concepts, the development of linguistic skills versus communicative abilities, cognitive principles and motivational factors as well as methodological trends. This theoretical discussion is relevant for the next two steps — first, the evaluation of the current teaching situation in Belo Horizonte, and secondly, the proposal of an alternative guideline. The unfolding of this thesis and the proposal further reveal that the communicative approach to language teaching together with Ausubel's theory of meaningful verbal learning can make the process more meaningful, useful, and transferable. As a result, students are likely to be more motivated and interested. A final claim is that the whole teaching/learning process could be better contextualized by having reading as a pivotal activity, which is made apparent in the illustrative study module that closes this thesis.

Sinopse:

This dissertation is aimed at the teaching of critical reading in English to foreign language students. Accordingly it analyses familiarity or distance as well as interest in topics in the light of reader-text interaction. Previous research based on the product of reading has revealed that in first language excess or lack of familiarity with the contents of texts has a negative influence in their evaluation thus hindering critical reading. Our experiment which presents subject informants (foreign language learners) with texts of different degrees of familiarity and interest elicits data by means of an introspective technique, the think aloud while reading a text. This technique served best for the verbalization of the learners' reading processes. Qualitative as well as a quantitative analysis of the subjects' reading processes are further compared to their anticipation of content (data of a title study task) and to their product of reading. This experiment led us to posit the existence of an optimal degree of familiarity or distance, namely, a medium degree (for foreign language reading) which avoids dominance or submission from the readers' part and thus best permits interpretation and evaluation. Both aspects are imperative in critical reading which is central to a critical education.

JOURNAL - WRITING AS FEEDBACK AND AS AN EFL-RELATED-ISSUES DISCUSSION TOOL

O Uso de Diário como Feedback e como Instrumento para Discussão de Assuntos Ligados ao Ensino de Inglês como Língua Estrangeira

Das Führen von Tagebüchern als Feedback und als Diskussionsgrundlage für den Unterricht English als Fremdsprache

Laura S. MICCOLI •

SUMMARY

This paper reports the results of an experience in which journal-writing was used to tap into the students learning processes so as to provide them with feedback on their teaching/learning processes and with the opportunity to discuss EFL teaching problems. This was accomplished by asking students to ponder over their learning experiences together with their reactions to class activities, and were recorded on a Portuguese-written journal. Students were also asked to write about the methodological assumptions underlying each class activity so that they could develop their own views on language teaching.

RESUMO

Este artigo apresenta os resultados de uma experiência na qual o diário foi usado como instrumento que permitisse dar aos alunos feedback sobre seus processos de aprendizagem e discutir assuntos relacionados com o ensino de Inglês como língua estrangeira. Foi pedido aos alunos que refletissem sobre suas experiências enquanto alunos, bem como sobre suas reações às atividades de classe. Estas foram descritas em Português apesar de tratar-se de curso de Língua Inglesa. Os alunos também escreveram sobre os motivos em que se baseavam as atividades de classe, de forma a permitir que eles desenvolvessem uma visão pessoal sobre o ensino de línguas.

INTRODUCTION

The "Letras" curriculum which any university level institution in Brazil has to meet reflects the belief that "Letras" undergraduate programs should mainly teach language to prospective English teachers. Though every English undergraduate student has to take courses such as "Teaching Practicum" where he/she is put in contact with the experience of teaching an English class, these courses have traditionally left the discussion of the more recent research findings in EFL learning and teaching as an area to treat in graduate programs. The English undergraduate student thus ends his/her course without this important information in the curriculum requirements he/she has completed.

In most university settings, courses such as "Teaching Practicum" focus on the study of methodological approaches to the teaching of English and on the development of classroom and testing materials. Issues such as second language aquisition research, the teaching of specific skills, and new trends in second/foreign language teaching are barely discussed. Since the discussion of EFL learning/teaching issues is important, students, as future EFL teachers, should be sensitized to the processes involved in teaching and learning a foreign language.

At the same time, students are usually very passive as learners. They expect their teachers to bring them sundry materials and new teaching techniques which should promote 'learning' at the end of the term. In fact, students sometimes hold teachers responsible for their own learning. Good or bad 'learning' is conveyed through grades which the majority does not know how to interpret. In short, students are usually unaware of what it means to be involved in their teaching/learning process as learners.

As future EFL teachers, students should analyze the teaching/learning process they experience. The experience of analyzing and pondering over themselves as learners will make them see that there are so many things involved in this process that

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they will be able to look at it critically so as in future to act on it conscious of its nature. .

This paper reports a project which aimed at providing students with the chance to discuss EFL learning/teaching issues in traditional language classes. The project also intended to make students more aware of themselves as learners so as to make them realize their active role in the teaching/learning process. The assumption was that both of these objectives would better prepare English majors in "Letras" courses to become EFL teachers.

Journal-writing was chosen as the most appropriate way for students to analyze and ponder over their teaching and learning process. Journal-writing has usually been used as one of the ways to foster personal language use of a second/foreign language in classroom settings. Students are usually asked to write about their own interests once a week. Journals are not evaluated for grammar or style. They are responded to with comments and queries about their content (CELCE-MURCIA & MCINTOSH, 1979 and SAVIGNON, 1983). Journals have also been used as feedback for the teacher and the student involved in a language teaching/learning situation in the University of California Los Angeles (MICCOLI, 1984a).

SUBJECTS

In all there were 35 students involved in the project which was carried out during the second semester of 1985 and the first semester of 1986. The students were undegraduates taking English courses at Faculdade de Letras, Universidade Federal de Minas Gerais. Nine of them took English III,A in the second semester of 1985. During the English II,B and the 13 students who took English III,B and tre 13 students enrolled in English IV,B also took part of the journal-writing experience. See Table 1.

TABLE 1			
Students Involved in Project			
TERM COURSE	2ⁿᵈ sem. 85	1ˢᵗ Sem. 86	Total per Course
English III	09	13	22
English IV	—	13	13
Total Students in Project	09	26	35

THE PROJECT

In this project, journal-writing served not only as feedback for teacher and students but also as a starting point for the discussion of a variety of issues related to EFL teaching.

The first objective was to use the journal as a source of feedback on the teaching/learning process students were experiencing. The assumption was that recording their points of view and feelings on what happened in class would make them become more aware of their roles as learners in the language classroom. This would make them become more active in the teaching/learning process.

The second objective was to use students' points of view about different class activities as a starting point for the discussion of issues related to EFL teaching. These discussions, called Teaching Methodology Discussions (TMD's), would involve students in discussing the teaching process, i.e., the problems they might face as future English teachers together with tentative solutions for these problems. This would make them realize the decisions a teacher makes before entering the classroom as well as what it means to be an EFL teacher in Brazil.

As a final objective, the use of journal-writing was expected to furnish information on whatever might be affecting students' learning process. This would allow me to have access to the other side of the teaching process as well as make changes, if necessary, in the course syllabus or teaching programme so as to assure the . best learning opportunities during the academic term.

PROCEDURES

The journal was presented to students as one of their course assignments. Students were given the following guidelines as how they should proceed to write it. First, they were told that the journals would be written in Portuguese. This would avoid the limitations that writing in English might bring. Second, they were instructed to write according to two roles — as observers and as learners:

As observers, they should describe each classroom activity step by step depicting what had been done and how the teacher had conducted the activity. They should be objective and focus on details. As part of their roles as observers, they were to speculate on what may be the rationale underlying each of the classroom activities the teacher brought to class. It was believed that students tentative guesses would engage them more actively in the learning opportunities brought to class and, consequently, in taking the most out of them.

As learners, students should write about their feelings towards each one of the classroom activities. This included reporting feelings of success or frustration as a result of their performance. They should also try to explain what/who had either helped or affected their performance. This was devised to have students write about themselves as learners since they usually see themselves only as students. In asking students to write about themselves, I expected them to become more active learners.

Students were assured that journals were confidential, i.e., no one. except the teacher would

have access to them. During TMD's students would only report to their classmates those parts of the journal which they felt at ease with. It was also stressed that journals would be assessed according to the quality of analysis and argumentation in them. This would allow students to disagree with any class activity without affecting the original purpose of the project, i.e., look at the teaching/learning process with critical eyes.

It was suggested that it would be better if students wrote their observations and feelings as soon as classes were over so that they would not forget the sequencing or their reactions to any class activity. Those who could not do that — nighttime students, were asked to outline the class activities of the day so as to be reminded of their reactions when writing their journals.

Journals should be written as explained above starting from the second day of class until the end of the semester. At the end of each month, the teacher assigned a 30-45 minute session for TMD's. Students should bring their journals to class on that day. Their observations would serve as starting point for the discussion, and the end of the session the teacher would collect the journals for comments.

In the end of the first semester of 1986, students received a final-evaluation questionnaire tol fill in. (See Appendix A for a copy of the questionnaire). A final-evaluation questionnaire was necessary so as to have a broader view of students' reactions to the project which the first-semester-of-1985 students' did not fill in.

As this project required the students' commitment and organization, reactions against it were expected. Surprisingly, these were not as strong as anticipated, probably because keeping a journal counted for the final grade. However, there were 5 students who did not keep the journal regularly. Two of them argued that assigning a grade to it made it compulsory rather than a spontaneous account of the teaching/learning process, which, in their opinion, was the best way to approach the journal assignement. In spite of that, if a grade had not been assigned to the journal as part of final grade, very few students, if any, would have taken the assignement as a serious course project.

Two other of these 5 students suggested that the journal should be written as a monthly assignment rather than as daily record of the teaching/learning process. These students argued that the daily writing of the journal was counterproductive on the grounds that they had many other class assignments which took most of their time. This would affect the quality of their journal entries. However, they were told that if they did not make daily entries on their journals, the objective of the project would not be accomplished as they would not tap into some of the important details in the teaching/learning process.

Only one of them stated that she had not understood the objective of the journal assignement thus neglecting it. This observation, which was part of her final evaluation questionnaire, was the reason

to consider preparing a hand-out on how to keep a class-journal with clear and specific directions and excerpts from former students' journals for future use. Hopefully, this hand-out will avoid the same problem to occur again.

Except for the student who reported not having understood the journal as a class project, the arguments against the journal did not seem valid when compared to other students' evaluation of the project. In fact, almost every student 'hated' — as they put it — the journal assignment for the first month or so. It was difficult for them to write about class activities, class performance, and personal feelings only because they had never done this before. However, as time passed they *got used* to it. In the end, almost all of them were grateful to have had the chance of analyzing their teaching/learning process.

In the following paragraphs the journal-writing experience is discussed. First, from the analysis of students' journals, which revealed a similar pattern of learning process among students, the five stages identified as part of this process are discussed. Second, journal-writing is discussed from the teacher's point of view, i.e., as feedback for the teacher, as a communication channel between teacher and student, and as a source of information on the teaching programme. Finally, the TMD's are analyzed and discussed The analyses and discussions are illustrated with excerpts taken from different students' journals. (Excerpts were translated into English. See Appendix B for excerpts in Portuguese). In the conclusion, the whole project is assessed in terms of its value for teachers and students.

DISCUSSION

The discussion of the use of journals as feedback and as an EFL-related-issues tool is based on 20 students' journals — spontaneously submitted for analysis, and on the 26 final evaluation questionnaires filled in by the English III and IV students at the end of the first semester of 1986.

After reading all students' journals, it was noticed that all of them went through a process of adaptation to the classes. For example, every journal generally started with statements of students' feelings of inadequacy in class and of frustration with their performances. Then, with time, they started to feel less frustrated. Consequently, their participation in class improved, but there were still drawbacks. Suddenly, those drawbacks were not recorded anymore and students' attitudes and participation changed with the understanding of the unavoidable ups and downs in the learning process. This process was common to all the students who offered their journals for analysis. Five different stages within their learning process were identified. They were labelled — *Feeling Lost Stage, Gaining Confidence Stage, The Insight Stage, Putting Performance Aside Stage,* and finally *Realizing Learner-Responsibility Stage.*

During the *Feeling Lost Stage*, students go through the process of feeling inadequate in class. Some of the reasons for this may be failing to understand what the teacher says, or what is happening when there are many different activities going on in one same class, or even making sense of explanations. Students may also feel that their classmates know more than themselves, or even question if they belong to the class. The following excerpts illustrate students' feelings at this stage.

"Sometimes I feel lost... I don't know where I am and many times I can't make sense of what she (the teacher) says."

"I'm considering dropping out. I'd better talk to the teacher."

"The majority does not have problems because they have studied English before. It is different with me."

The first stage is critical for students. It is when they start missing classes as a consequence of these feelings. This stage is so difficult for students to overcome that it may culminate with drop outs.

At a second moment in the process, students begin to feel more comfortable in class. It is the *Gaining Confidence Stage*. As students experience this stage, they still have difficulties but they feel they can manage without feeling as overwhelmed as they did in the begining. Here journals have statements which show that students can make sense of the class activities, that they feel more at ease with classmates, teacher and class activities, and that things are not as difficult as they had thought. The following excerpts are evidence of this second stage.

"I feel more 'integrated' in the class activities and this makes me happy."

"I found the group discussion a good activity because when we have doubts, it is good to have the chance to discuss them with the others."

"In spite of being a more difficult text when compared to the others, I noticed that I am having less trouble in understanding the words."

In the next stage, the *Insight*, students begin to realize that learning is a process and that it mostly depends mostly on themselves. They also begin to understand the rationale underlying classroom activities and, as a consequence, they feel they can perform better. In their journals, this is expressed with statements that are not as anxious as the ones found in the first stage.

"As for freewriting, at first I thought it was awful because the teacher would keep track of it...

As I kept writing I started to understand the activity's objective... now I feel more at ease (with freewriting activities)."

"As with the writing learning process we can see that... we can apply (the idea of process) to the study of a foreign language... As we work on these processes we will be training and broadening our (learning) abilities."

"Small passages, apparently unimportant, may completely change the message. In this sense I feel that (the activity) is demanding more attention from us in relation to the recorded text."

The fourth stage — *Putting Performance Aside*, shows that students are not so interested in good performance anymore. They realize that in the learning process there are ups downs or success and failure. The important thing is to go through the process without putting so much emphasis on getting everything right. These two excerpts below capture this very well:

"There are days in which I write more whereas there are days in which I write less. This doesn't frighteen me anymore."

"I found the test very interesting. The most important thing is that I was not worried about the grade I was going to get on it. Because, honestly, I was facing it as another step in the evolution process of getting to know the (English) language. I enjoyed taking (the test) and I feel I did relatively well."

Finally, students reach the last stage — *Realizing Learner-Responsibility*, in which full awareness of the learning process takes place. Here students realize that they are responsible for their own performance as learners. They realize that learning depends mostly on them. This awareness of learner-responsibility is important not only for foreign language learning but for any new learning process. The excerpts below state this very well.

"The class-journal's function became clearer... And this made me see myself as an agent in the language learning process."

"We are learning to be self taught persons (kind of an exagerated expression) and later we will complement what we have missed by ourselves."

From this analysis of the five stages which make up the learning process, we can see that the journal assignment had a twofold feedback purpose for students. Journal-writing made them see that learning is a dynamic process. It gave them feedback on their successes and failures and made them realize that both are important as parts of the whole process. Thus, it made them aware of their active role in the teaching/learning process. Journal-writing also provided them with feedback on performance and learning styles. This is important because when students write about their performance they have to consider what affects it. This usually makes students aware of their learning style thus giving them a chance to act upon their strengths and weaknesses so as to become better learners. The excerpt below illustrates well the meaning of the journal assignment to a student:

"When writing the journal we make
both a self-evaluation and a learning
evaluation. We evaluate what has
been taught and whether we have
learned or not. Through the journal
we were able to evaluate ourselves...
I felt more freedom and more at ease
in being in the classroom."

For the teacher journal-writing also works as feedback. First, it works as a communication channel between students and teachers. In having access to the students' journal once a month after the TMD's, the teacher can have feedback on class activities, on either the students' or the teacher's own performance, and also on problems the teachers may not be aware of. These excerpts below illustrate the journal as a communication channel between teacher and students.

"I loved this class! It was
dynamic... and very profitable since
it expanded my vocabulary and
developed my reasoning. I was able
to loosen up when talking."

"When we corrected the exercises...
I liked it. However, when each group
had to talk about the exercises they
had done, it was difficult for me
to follow."

"There was one thing I didn't like...
the attention you (the teacher)
gave to same classmates who made
us feel a bit insecure for knowing
more (than us)..."

The three excerpts above are important for any teacher as feedback. The first one is a positive evaluation of a class activity which if it were not for the journal the teacher would not have access to. The second excerpt is an important feedback for the teacher to change or adapt the course syllabus. The last one makes the teacher become

aware of a problem which may be interfering in the teacher/student relationship.

From the students' point of view journal-writing brings a new dimension to the communication between students and teacher. It gives immediate feedback and posits complex problems that eventually will have to be solved. The following excerpts illustrate this:

"Journal-writing... helps us solve
immediate problems and makes us
start searching for solutions for
more complex problems."

"In my opinion (journal-writing) is
important for both the teacher and
the student,... it is what we are
fighting for in all other subjects.
It brings the right time for
pondering, speaking, listening
and changing."

The culmination of the journal-writing process is the TMD. Here the students voice their impressions, feelings and even their critiques on the teaching/learning process. Therefore, the classroom is transformed into a forum where everybody has the chance to express their own points of view.

The issues discussed in the TMD's are the same as those found in students' journals. However, it is here that issues which are related to EFL teaching such as second language acquisition, classroom management, syllabus design, materials selection, etc. have the chance to be discussed.

For instance, when the students question the teacher for the lack of correction during a speaking activity, or when they demand correction which is not given, the discussion of Krashen's monitor model may be introduced and it may explain the teacher's decision not to correct. Other more down-to-earth problems are discussed such as the teaching of the four skills or even the handling of very large groups in secondary schools.

This type of discussion broadens students' points of view on the process of teaching a foreign language in Brazil. It also makes them become aware of their responsibility as future EFL teachers, so as to change the current state of affairs. This excerpt is an example of the relevance TDM's have for students:

"We also had our TMD's which makes
me feel more confident about what
I expect from this university...
In the end of these discussions
there are always questions and doubts
left. These are a consequence of our
journal observations though we try
to ponder about solutions during
the discussions."

The TMD's also help students realize that they are not alone in their difficulties in following the course. This makes them less anxious and

encourages them to continue striving in the learning process. This student's comment illustrates this aspect very well:

"In the begining of the course I
was not able to understand the
need for discussions (TMD's) but...
I (later) found their value...
methodological issues were discussed...
it was interesting to see the
different degree of our difficulties...
This is good; shows me that I am not
different."

CONCLUSION

Journal-writing has proved to serve very well as a communication channel between teacher and students. It has shown that through this channel, students can voice their opinions on their learning process so as to contribute positively to it. It has also demonstrated that because of the awareness that journal-writing brings about, students move from a passive to an active role in the teaching/ learning process. Success or failure does not fall solely on the teacher anymore. Students understand the importance of their role as learners.

From the teacher's point of view, journal- writing works as feedback on the teaching process. Students write about their reactions to class activities, which allows the teacher to change goals and objectives in order to make them more appropriate to students' needs. As students write about their reactions to the teacher, they offer an honest feedback to teacher performance. Students also write about their own failures thus giving the teacher an account of the reasons for individual low performance. In short, journal-writing brings the students closer to the teacher and vice-versa.

Finally, journal-writing has also shown that the discussion of EFL teaching/learning issues can be introduced in usual 'language' classes. The analysis of classroom activities makes students realize that language teaching is a vast field where there is still much to research about the nature of the teaching and learning processes. Students realize there are no ready-made-answers for questions such as how to deal with large groups or what is the best way to teach grammar, writing skills or even reading, as many factors are involved in defining the best way to approach a teaching problem. From the discussion of issues involved in the teaching/ learning process in the TMD's EFL teachers learn an invaluable lesson: that only through research, experimentation and creativity can the profession be a more exciting activity. Since this is needed for the improvement of the teaching of English, the use of journals can have significant potential value in transforming the current English teaching situation in Brazil.

APPENDIX A

I — TRANSLATION-COPY OF THE FINAL EVALUATION QUESTIONNAIRE

In no more than two type written pages, write about your learning process this semester. Ponder on it from your journal observations of classes and try to answer the following questions:

1. Were you able to develop your own view on language teaching? Why (not)?

2. Would you use any of the materials or techniques from those brought to class? Which? Why (not)?

3. How do you see your performance in the following areas after the end of the semester:
    a) language learning
    b) teaching methodology learning
    c) personal growth.

4. Final comments.

II — COPY OF THE FINAL EVALUATION QUESTIONNAIRE

Em até no máximo duas folhas datilografadas, escreva sobre seu processo de aprendizagem durante este semestre. Reflita a partir do seu diário, baseando-se nas suas observações sobre as aulas e sobre seu processo individual. Tente responder as seguintes perguntas:

1. Você conseguiu desenvolver uma visão pessoal sobre o ensino de línguas? Por que (não)?

2. Você usaria alguma(s) técnica(s) e/ou material dos usados em sala? Quais? Por que (não)?

3. Como você vê seu desempenho nas seguintes áreas após o fim do semestre:
    a) aprendizado de língua
    b) aprendizado sobre metodologias de ensino
    c) crescimento pessoal.

4. Comentários finais.

APPENDIX B

ORIGINAL EXCERPTS FROM STUDENTS' JOURNALS

Feeling Lost Stage:

"Às vezes me sinto perdida... eu me perco e muitas vezes não consigo captar o que ela diz."

"Estou pensando em trancar. Vou conversar com a professora."

"A maioria não tem dificuldades porque já estudou fora. Comigo é diferente."

Gaining Confidence Stage:

"Sinto-me mais 'engajada' no trabalho e isto me alegra."

"Achei boa a discussão em grupos, pois quando temos dúvidas é bom poder discutí-las com os outros."

"Apesar de ter sido dado um texto mais difícil em relação aos outros, percebi que estou tendo mais facilidade em perceber as palavras."

The Insight Stage:

"Quanto ao freewriting, a primeira vista achei péssimo, pois me cobrariam... À medida que fui escrevendo fui percebendo sua intenção... agora já estou me sentindo mais a vontade."

"Assim como no processo de aprendizagem escrita podemos observar que... podemos aplicar (o processo) ao estudo de língua estrangeira. ...À medida que trabalhamos em cima destes processos estaremos exercitando e ampliando as nossas habilidades."

"Pequenas passagens, aparentemente sem importância, podem mudar completamente a mensagem. É nesse sentido que sinto que (a atividade) está... exigindo maior acuidade da nossa parte com relação ao texto gravado."

Putting Performance Aside Stage:

"Há dias em que escrevo mais e em outros menos. Isto já não me assusta mais."

"Achei muito interessante o teste. Mais interessante é que eu não tive muita preocupação com a nota que eu ia ter, porque na verdade, estava encarando como mais uma etapa de um processo de evolução no conhecimento da língua. Gostei de fazer e acho que me saí relativamente bem."

Realizing Learner Responsibility Stage:

"A função do jornal ficou mais clara... E isso permitiu que eu me visse como agente dentro do processo de aprendizagem de línguas."

"Nós estamos aprendendo a ser auto-didatas (expressão meio exagerada) e depois complementamos o que faltou sozinhos."

Journal-Writing and the Student

"Ao escrever o 'jornal' fazemos como que um exame de consciência e de aprendizado. Avaliamos o que foi ensinado, e, se aprendemos ou não. Através do jornal pudemos fazer uma auto-avaliação... senti mais liberdade e mais à vontade na sala de aula."

Journal-Writing and the Teacher

a) *Feedback on Class Activities, Performance (S's & T's) and on Problems*

"Adorei essa aula! Ela foi dinâmica,..., e muito proveitosa, pois enriqueceu o meu vocabulário, desenvolveu meu raciocínio e consegui um maior desprendimento ao falar..."

"Na hora de corrigir os..., o que achei bom. Mas, quando cada grupo ia falando sobre os exercícios que fizeram, as vezes eu não conseguia acompanhar."

"Uma coisa que não gostava,..., é a atenção que você dava a certos colegas, que por saberem mais nos traziam um pouco de insegurança..."

b) *Communication Channel between Students and Teacher*

"O jornal... ajuda a resolver problemas imediatos e a começar a pensar em futuras soluções para problemas mais complexos."

"Para mim, (o journal) é importante para ambos; professor e aluno,... é um espaço que estamos lutando para conseguir em todas as disciplinas, é o momento para refletir, de falar e ouvir, de mudar."

Teaching Methodology Discussions

"Também tivemos nossa discussão sobre Teaching Methodology a qual me faz ficar sempre mais confiante em relação ao que espero desta escola... Restam sempre no final de tais discussões as dúvidas e interrogações, nascidas das reflexões feitas anteriormente e amadurecidas pela discussão final."

"No começo das aulas eu não estava entendendo bem a necessidade dessas discussões mas... eu descobri a validade... Discutiu-se a metodologia... foi interessante ver o grau de dificuldade de cada um... isto é bom, sinal de que não estou como um peixe fora d'água."

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