ESTUDOS GERMÂNICOS

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For

WILLIAM GOLDING:

Artist, craftsman, geographer of
the human heart.

SUMÁRIO

PREFÁCIO

O quarto número da revista *Estudos Germânicos* vem mais uma vez divulgar os trabalhos dos professores do Departamento de Letras Germânicas da Faculdade de Letras e dos alunos da Pós-Graduação em Letras - Inglês da UFMG.

Neste número estão incluídos os Anais da Terceira Semana de Estudos Germânicos, realizada pelo Departamento em outubro, com a participação de professores da UFMG e de outras universidades brasileiras e estrangeiras.

O Conselho Editorial apresenta seus agradecimentos a todos os que colaboraram para a publicação de *Estudos Germânicos* e em particular à chefia do Departamento.
Menção especial deve ser feita ao Goethe-Institut e ao Colegiado do curso de Pós-Graduação em Letras, que complementaram a verba necessária para este número.

O Departamento e o Conselho Editorial esperam poder dar continuidade à revista, veículo indispensável para que as pesquisas dos professores e alunos sejam levadas além dos limites da Faculdade.

CONSIDERAÇÕES SOBRE INTERFERÊNCIAS DE ORDEM PSICOLÓGICA NO
ATO DE LER, EM CURSOS DE INGLÊS INSTRUMENTAL

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O propósito imediato deste trabalho
é estabelecer um ponto de partida
para o estudo da interferência que
fatores afetivo/motivacionais exer
cem sobre os aspectos cognitivos
no desenvolvimento da habilidade de
leitura*, em cursos de inglês com o
propósito de desenvolver tal habili
dade. O artigo é dividido em 3 par
tes: (1) Introdução; (2) Considera
ções teóricas e (3) Implicações pe
dagógicas.

1. Introdução

Partindo do princípio de que se tem dado nos últimos anos
uma forte ênfase aos aspectos cognitivos envolvidos no processo
do desenvolvimento da habilidade de ler com finalidade de compre
ensão e crítica, tanto em língua materna quanto em língua estran-
geira, este trabalho tem como propósito colocar em discussão es-
ses aspectos cognitivos frente aos afetivo /motivacionais. Nesta

/...

* "Ler é um ato extremamente complexo, que necessita de sínteses
  interdisciplinares para ser explicado". In SILVA, Ezequiel. Lei-
  tura e Realidade Brasileira. Porto Alegre, Mercado Aberto, 1983, p. 19.

discussão pretende-se apresentar algumas considerações teóricas, experiências realizadas e algumas evidências de sala de aula em cursos de inglês cuja meta é desenvolver a habilidade de ler.

Atualmente há uma forte crença e algumas evidências de que existe uma interação entre fatores cognitivos[1] e afetivo/motivacionais influenciando a MOTIVAÇÃO, que, por sua vez, interfere no ato de ler. Talvez se possa dizer que em língua estrangeira essa interação é mais proeminente, uma vez que há, também, uma interferência considerável de fatores linguísticos.

Uma das evidências de que a Leitura — ato que requer habili dades cognitivas — interage com fatores afetivos é a conclusão de VERNON (1957) que consta em DOWNING E LEONG (1982:249):

> It seems clear that in some cases the
> emotional difficulties are the primary
> and fundamental factor in causing
> reading disability: whereas in others,
> the emotional difficulty is largely
> caused by the reading disability.

Nota-se, aqui, a interação entre fatores emocionais e o ato de ler: a perturbação emocional causa fracassos, ou pode ser produzida por se experimentar fracassos na leitura.

Além disso, segundo alguns psicolinguistas, os fatores motivacionais, também, interferem, significativamente, nos processos cognitivos. DOWNING e LEONG (1982:239) citando McDONALD dizem:

> ... under the influence of an internal
> process, called MOTIVATION, the individual's

*behavior persists until a goal has been
reached...*

Pode-se concluir que a MOTIVAÇÃO é que impulsiona o indivíduo a
atingir sua meta em uma determinada atividade. Em outras palavras,
o leitor só atingirá sua meta de compreender um texto, no momento
em que ele estiver predisposto motivacionalmente a fazê-lo. É cla-
ro que essa predisposição é o passo inicial para que todo um pro-
cesso cognitivo se desencadeie.

Devido ao paradoxo de ter-se observado a forte interação en-
tre fatores cognitivos e afetivo/motivacionais no desenvolvimento
da habilidade de ler, mas ainda serem escassos os estudos e expe-
riências realizados na área, é que se propõe desenvolver este tra-
balho como uma contribuição no assunto, voltado para cursos de
inglês, em que o propósito é o desenvolvimento da leitura. Há vá-
rios autores que já começaram a focalizar o problema, mas grande
parte das pesquisas e experiências são em função da aprendizagem
em âmbito geral. A partir daí, transferem-se as conclusões para
o campo da leitura. Assim, este trabalho assume um caráter experi-
mental, esperando que futuras pesquisas e experiências venham
confirmar ou reformular algumas das considerações aqui discutidas.

2. Considerações Teóricas

Partindo de pressupostos psicolinguísticos já consagrados,
pode-se, hoje, dizer que ler é um ato que envolve fatores cogniti-

vos. A título de ilustração, tem-se a esclarecedora contribuição
de GOODMAN (1967), citada em GOLLASCH (1982:33,34):

> *Reading is a psycholinguistic guessing game.*
> *It involves an interaction between thought*
> *and language.*

e, também, a complexa interpretação do ato de ler dada por SMITH
(1978:1):

> *There is nothing about reading that is unique,*
> *whether one considers the structure or the*
> *functions of the brain. There is also nothing*
> *about reading that is unique as far as*
> *intellectual processes are concerned.*

Esses fatores cognitivos sofrem influência de fatores como
a MOTIVAÇÃO e a PRÉ-DISPOSIÇÃO MENTAL. Estes últimos, por sua vez,
são bastante influenciados por fatores afetivo/motivacionais tais
como: a AMEAÇA, o DESAFIO, a INSEGURANÇA, o MEDO DO FRACASSO, a
ANSIEDADE, a CONFIANÇA, etc.. Assim, conclui-se que há uma íntima
relação entre os fatores cognitivos e afetivo/motivacionais inte-
ragindo no ATO DE LER. Entretanto, há dúvidas quanto ao problema
de como esses fatores se interagem, interferindo no ATO DE LER.

A fim de tentar responder algumas dúvidas relativas ao pro-
blema, serão apresentadas conclusões dos estudos de ANDREAS, rela-
tadas em DOWNING e LEONG (1982), entremeadas de contribuições de
outros pesquisadores da área. ANDREAS propõe três conceitos afe-

tivo/motivacionais que inteferem na Leitura: INCITAMENTO (Arousal), INCENTIVO (Incentive) e REFORÇO ou RECOMPENSA (Reinforcement).

Considerando o primeiro conceito – INCITAMENTO – tem-se como definição: Ativação do Córtex (Cortical Activation). Segundo alguns autores esse incitamento não deve ser nem excessivo, podendo causar hipertensão, nem insuficiente, podendo causar torpor. No momento em que se tem um nível de incitamento ideal (intermediário), tem-se uma situação propícia para que ocorra a ATENÇÃO e a CONCEN TRAÇÃO[2]. Nota-se, então, que o fator de incitamento é necessário para que o ato de ler se inicie, uma vez que este, como processo cognitivo, exige atenção e concentração, a fim de que ocorra o processamento da informação.

A psicologia de respostas emocionais tem evidenciado a influência que alguns fatores afetivo/motivacionais têm sobre a ATENÇÃO e CONCENTRAÇÃO, como por exemplo, o AUTO-CONCEITO, a AN- SIEDADE, a RECUSA DE APRENDER e a PREOCUPAÇÃO, os quais exercem grande interferência no processo cognitivo, na medida em que bloqueiam a mente impedindo a ativação do córtex. Logo, não haverá incitamento, o que impossibilita a atenção e a concentração de ocorrerem. Assim, o ato de ler está impedido de se processar. Neste caso, depara-se com o impasse: bloqueio mental versus a exigência acadêmica de ler. Então, há muitas oportunidades para se experimentar o fracasso. Este gera reações emocionais, como recusa ou agressão pela tarefa, mas o impasse continua. Tem-se, então, um círculo vicioso, em que, quanto mais fracassos, mais ansiedade surge e, conseqüentemente, mais fracassos ocorrem.

Segundo ANDREAS, este círculo vicioso gera a Exaustão (STRESS), levando o leitor a encarar a Leitura como uma AMEAÇA. E

assim, surgem reações afetivo/motivacionais muito fortes e nega-
tivas, impedindo o desenvolvimento de qualquer habilidade cogniti-
va. Para DOWNING e LEONG (1982), as perturbações emocionais e o
fracasso no Ato de Ler são interativos,conforme ilustra a Figura 1.
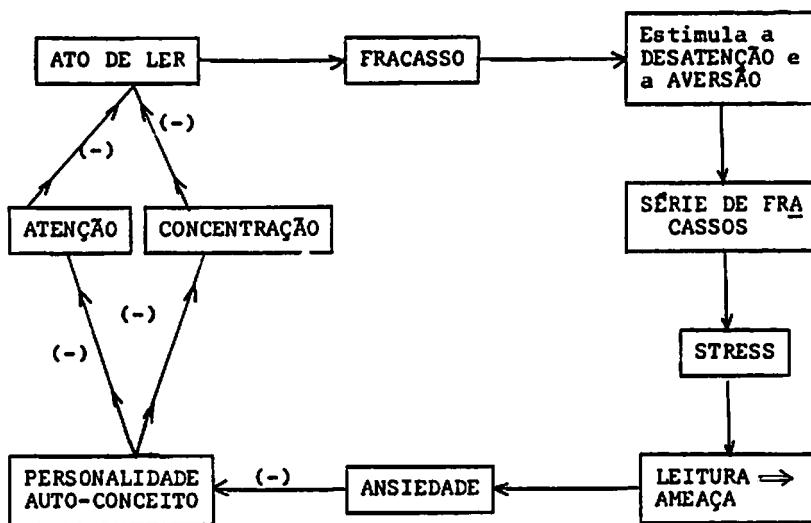
Figura 1 - Círculo Vicioso com Realimentação Negativa.

Considerando o segundo conceito - INCENTIVO - tem-se como
definição, dada por McDONALD (1965) em DOWNING e LEONG (1982:249):

> An incentive is a reward or source of need
> satisfaction that a person may obtain. The
> possibility of attaining this reward or
> goal induces motivated behavior. An incentive
> is something preffered to a learner to
> engage him in the actions of learning.

Este segundo fator é responsável por uma série de reações emocionais como o INTERESSE, a CURIOSIDADE e a MOTIVAÇÃO. Segundo BRADLEY (1969) em DOWNING e LEONG (1982:251), a criança fica cada vez mais curiosa e motivada, quando sua atenção é atraída por alguma coisa que esteja fortemente ligada aos seus interesses. De acordo com DREVER, também citado por DOWNING e LEONG (1982:252), interesse designa um tipo de sentimento, que poderia ser chamado de "significativo" ("worth-whileness"), que é associado com o fator Atenção em função de uma meta.

O psicolingüista McDONOUGH (1981) considera que um dos fatores mais importantes no desenvolvimento de habilidades cognitivas é a MOTIVAÇÃO e que esta é alimentada no momento em que o professor desenvolve um corpus significativamente e de maneira transferível. Tal perspectiva está intimamente ligada à idéia de transformação, processo cognitivo. Entretanto, ele diz que traços da personalidade tais como a Introversão e a Extroversão exercem uma forte influência no fator MOTIVAÇÃO, subdividindo-o em dois tipos: (1) MOTIVAÇÃO em função de EVITAR o FRACASSO e (2) MOTIVAÇÃO em função de ATINGIR O SUCESSO. Com isso, ele afirma que alunos que demonstram uma dosagem considerável do tipo (1) conseguiram experimentar o sucesso mais facilmente através de atividades como a Instrução Programada, em que a margem de erros é altamente reduzida (Base Skinneriana). Por outro lado, alunos que demonstram uma parcela significativa do tipo (2) são mais adeptos — se sentiriam mais incentivados — de atividades que exigem mais o raciocínio, o pensar e o desafio mental (Base Racionalista/Cognitivista)[3].

Por conseguinte, dir-se-ia que, se no desenvolvimento da habilidade de ler fossem usados textos relevantes aos interesses

do leitor e que fossem trabalhados atendendo aos propósitos e características do mesmo, ter-se-ia uma situação propícia não mais a fracassos, mas sim a sucessos.

Alguns autores concluem que ocorrendo uma série de sucessos, a CONFIANÇA do leitor é estimulada, há uma realimentação emocional positiva, que gera positividade no auto-conceito e, assim, mais sucessos. A Figura 2 ilustra a realimentação positiva aqui discutida.
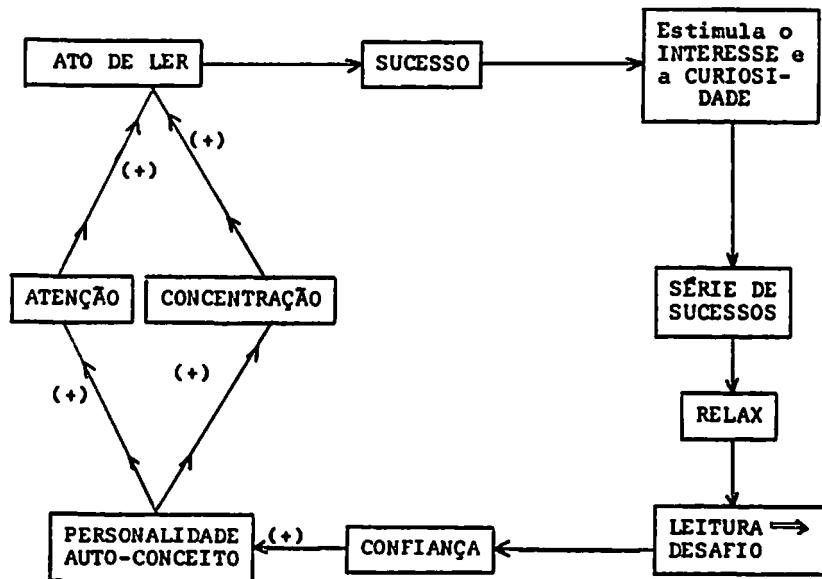
Figura 2 - Círculo Vicioso com Realimentação Positiva.

Observa-se na Figura 2 a realimentação *positiva* ao auto-

conceito (personalidade), causada pela CONFIANÇA. Enquanto que na

Figura 1 há uma realimentação *negativa* , causada pela ANSIEDADE.

É claro, na Figura 1, como a ANSIEDADE,realimentando negativamente

o auto-conceito do leitor, leva aquele que lê a uma série de fra-

cassos, causando o STRESS. Então a leitura passa a representar

uma AMEAÇA. Por outro lado, a Figura 2 evidencia a realimentação

positiva - CONFIANÇA - estimulando o interesse. Tem-se, então, uma

série de sucessos, levando o leitor a um estado de RELAX, o que

o possibilitará ler com mais facilidade e processar a informação

satisfatoriamente. A Leitura passa a representar um DESAFIO em que

o leitor é seduzido pelo desejo de alcançar êxito na tarefa[4]. Em

suma, o fator PERSONALIDADE/AUTO-CONFIANÇA tanto interfere nos re

sultados da Leitura como é interferido por eles, gerando o círculo

vicioso ilustrado nas duas figuras (ou negativo ou positivo).

Retomando os dois primeiros conceitos de ANDREAS, pode-se

observar que o Incitamento é que ativa o leitor para que, então,

ele se sinta incentivado; o Incentivo, por sua vez, também atua

sobre o fator Incitamento, criando, assim, um sistema interdepen-

dente.

O terceiro conceito de ANDREAS é o REFORÇO, para o qual ele

apresenta como sinônimo a palavra RECOMPENSA. São considerados

dois tipos de Reforço: extrínseco e intrínseco. Os reforços ex-

trínsecos são recompensas tais como notas, balas, presentes, que

são dadas às crianças a fim de mantê-las engajadas na tarefa.

Quanto a essa forma de reforço, OLIVER (1976), citada em DOWNING

e LEONG (1982:250), afirma que

... *the use of extrinsic rewards for*

> *reading may give the child a false concept*
> *of the purpose for reading.*

Isto evidencia que quando o leitor se engaja em uma leitura é com propósitos mais intrínsecos (por exemplo, auto-realização, auto-desenvolvimento, etc.). Além da afirmação de OLIVER, GIBSON e LEVIN, citados em DOWNING e LEONG (1982:250), dizem que

> *Extrinsic rewards keep the child at the*
> *task. When they are withdrawn, the rate*
> *of activity at the task drops*
> *immediately and sharply. When the*
> *reinforcers are discontinued the learner*
> *seems to have no motivacional basis for*
> *continuing.*

Isto reforça a idéia de que recompensas extrínsecas são enganosas, não contribuindo, até certo ponto, para um desenvolvimento do leitor em termos de proficiência.

Por outro lado, pesquisas mostraram que a conscientização dos alunos a respeito de resultados é uma recompensa intrínseca bastante eficaz no âmbito cognitivo, mas perigosa no âmbito afetivo/motivacional. De acordo com DOWNING e LEONG (1982) o feedback, cognitivamente falando, fornece informações úteis e motivadoras para melhorar os aspectos ainda deficientes, mas, afetivamente, pode tanto encorajar como desencorajar o aluno.

3. *Implicações Pedagógicas*

Através de entrevistas com professores que atuam er: cursos de Inglês Instrumental[5], com o propósito de desenvolver a habilidade de leitura, foram detectadas as seguintes evidências, demonstradas por alguns alunos, em algumas situações:

a) MEDO DO FRACASSO, gerando:
. rejeição ao curso; descrença em relação ao método; dúvida da sua própria capacidade de raciocínio; inibição frente aos colegas e professor; aversão pelas atividades; agressão e/ou abandono; insegurança a tal ponto de não querer correr riscos, ou seja, usar novas estratégias.

b) ANSIEDADE, gerando:
. dificuldade de raciocínio, medo de se posicionarem criticamente frente ao texto; aversão pelo método e atividades; agressão e/ou abandono; dispersão (dificuldade de concentração); fracasso; insegurança; motivação em função de evitar o fracasso; intolerância por situações em que as conclusões não são únicas; impaciência frente a contextos didáticos em que o próprio aluno tem que chegar às suas conclusões indutivamente.

c) CONFIANÇA, gerando:
. interesse pelo método e atividades; crença na sua capacidade de raciocínio; motivação; segurança; vontade de atingir êxito; disposição para desafiar situações/problemas criados

no processo do desenvolvimento da leitura.

d) AUTO-CONCEITO

. POSITIVO, gerando:

- motivação em função de atingir o sucesso; interesse; condi-
ções mentais favoráveis à aprendizagem (mente relaxada);
capacidade de transferência para situações extra-classe,
com resultados satisfatórios.

. NEGATIVO, gerando:

- aversão; medo de fracassar; subestimação de si mesmo; con
dições mentais não favoráveis à aprendizagem (mente tensa).

Algumas dessas reações foram constatadas através da própria
verbalização dos alunos, em sala ou em particular, no momento em
que eles atingiram um estado de tensão que não mais conseguiam se
conter. Aqui, é aceitável dizer que este estado pode ser identifi-
cado com o estado de STRESS, abordado em DOWNING e LEONG (1982),
evidenciando a *exaustão* atingida por causa de *ansiedade* e *medo do
fracasso*.

Outras reações foram notadas, em certos momentos do curso,
em conversa com os alunos, tentando-se explicitar o que estava
ocorrendo.

Além disso, após determinadas atividades (teste ou exercí-
cios de avaliação), os alunos foram questionados quanto aos seus
sucesso e fracasso . Os alunos bem sucedidos alegaram que tive-
ram sucesso porque conheciam algo sobre o assunto ou porque gos-
taram do texto e ficaram curiosos por desvendarem a sua mensagem.
Já os alunos mal sucedidos alegaram que o método era confuso e

falho ou que, se não usassem dicionário e não soubessem gramática, era quase impossível entender um texto. Observa-se que, geralmente, o sucesso é explicado com base em fatores motivacionais inerentes ao próprio leitor (intrínseco) e que o fracasso é associado a fatores motivacionais extrínsecos.

Diante dos fatores mencionados, observa-se, novamente, evidências de vários aspectos afetivo/motivacionais, que foram teorizados na segunda parte deste artigo, tais como: MEDO DO FRACASSO, ANSIEDADE, VONTADE DE ABANDONAR, AGRESSÃO, RECUSA DE APRENDER OU DESENVOLVER UMA DETERMINADA HABILIDADE, INSEGURANÇA, AUTO-CONCEITO (POSITIVO e NEGATIVO), CONFIANÇA, INTOLERÂNCIA, IMPACIÊNCIA, etc., etc., interferindo nos processos cognitivos do ATO DE LER. Aspectos como esses podem contribuir para que cursos dessa natureza fracassem devido ao fato de que a capacidade intelectiva dos alunos é bloqueada pelos fatores afetivo/motivacionais e não porque os alunos não tenham tal capacidade. Além disso, analisando o insucesso de determinados cursos de inglês desta natureza, à luz de teorias psicolingüísticas, pode-se afirmar que o insucesso é devido a posturas coerentes com o modelo "behaviorista" que contrastam visivelmente com as adotadas pelas teorias aqui apresentadas. Por exemplo, as teorias apresentadas aqui levam em conta fatores afetivo/motivacionais interagindo com fatores cognitivos. Ambos os fatores enfocados estão totalmente divorciados dos aspectos comportamentais presentes no modelo "behaviorista" = S—— R. Assim, dir-se-ia que o modelo S—— R é insuficiente para explicar e desenvolver o complexo ATO DE LER com seus sucessos e fracassos.

As alternativas de solução utilizadas foram, geralmente, aquelas que estão associadas a um fator emocional em vez daquelas

de âmbito cognitivo. Algumas de âmbito emocional são: conversa com os alunos, em particular ou em classe, explicando o que estava ocorrendo e, assim, realimentando-os positivamente com atributos de "capazes intelectivamente" e com votos de confiança e sucesso por parte do professor. Ou, então, deixar que os alunos usassem as estratégias que lhes aprouvessem mais, com a responsabilidade de preencherem os requisitos pedidos no curso.

Outras alternativas bastante válidas — digo "válidas" a partir de comprovações experimentais em sala de aula — foram: explicitação do porquê de se desenvolver uma determinada seqüência de passos nos exercícios, de modo que pudessem transferir estratégias e técnicas treinadas para situações reais extra-classe; conscientização do aluno a respeito dc "complexo processo motivador que se desenvolve dentro dele, encaminhando-o a trabalhar desembaraçadamente em função dos objetivos por ele propostos"[6]; adequação dos objetivos o mais próximo possível das necessidades dos alunos. Com tudo isso, objetivou-se possibilitar aos alunos condições de experimentarem a auto-realização em situações reais extra-classe.

As conclusões obtidas, no final dos cursos, foram que os alunos saíram-se muito bem, pesarosos pelo curso ter chegado ao fim e dizendo que já estavam "pegando" textos em inglês, lendo e compreendendo-os, pelo menos em nível de compreensão global e de idéias principais. Aqui cabe uma ressalva de que não se está afir mando que os alunos se transformaram em leitores fluentes, mas que adquiriram segurança e subsídios para que pudessem se desvencilhar dos problemas e obstáculos que se encontram no campo da Leitura e do conhecimento. E mais, os erros que esses alunos come-

tem, eles próprios os encaram como pontos positivos e de progres-
so[7].

Conclui-se,então, que resultados positivos podem ser alcan
çados a partir de medidas como essas que foram tomadas, consideran-
do-se aspectos de Personalidade e Auto-Conceito, entre outros de
caráter lingüístico. Os resultados positivos alcançados a partir
de tais medidas reforçam o ponto de vista de que a ANSIEDADE cons-
titui uma realimentação *negativa*, levando ao STRESS, causando a
aversão e a *agressão* ; e a CONFIANÇA constitui uma realimentação
positiva , levando ao RELAX, causando *estímulo para ir em frente*
com o desafiante ATO DE LER. As interferências dos fatores afeti-
vo/motivacionais sobre os fatores cognitivos e vice-versa. Logo,
pode-se dizer que as teorias de ANDREAS, citadas em DOWNING e
LEONG (1982), e as de outros pesquisadores, são verificáveis em
ambientes acadêmicos. Mas, o que não se pode afirmar é que elas
são exaustivas e que as soluções apresentadas são funcionais em
qualquer situação.

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NOTAS

[1] Alguns dos fatores cognitivos são: Atenção, Concentração, Construção e Reconstrução significativa de informações, etc.. Estes e outros fatores estão "relacionados com o processo da compreensão, transformação, armazenamento e uso da informação envolvida na cognição". In MOREIRA et alii. *Aprendizagem Significativa: A Teoria de David Ausubel*, 1982.

[2] Vários autores não fazem distinção entre estes dois termos. Mas, ABRAMS e SMOLEN (1973) em DOWNING e LEONG (1982:241) dizem "Attention may be defined as a relatively effortless, passive, involuntary, free receptivity to stimuli. On the other hand, concentration involves an active focussing of attention — that is, a deliberate, effortful, voluntary, and selective channeling of one's attentive energies."

[3] Ilustrando essa abordagem em uma outra área da Lingüística Aplicada (Análise de Erros) temos a conclusão que TARONE (1977) chega em seu artigo "Conscious Communication Strategies in Interlanguage: A Progress Report": ela conclui que traços da personalidade, também, interferem na escolha consciente de "Estratégias de Comunicação". Esses traços geram certas reações afetivo/motivacionais que interagem com fatores cognitivos, gerando bloqueio (AVOIDANCE, APPEALS FOR ASSISTANCE) na comunicação ou "não-bloqueio" - tentativa de se fazer compreendido de qualquer maneira (PARAPHRASE, MIME, LANGUAGE TRANSFER).

[4] Segundo McDONOUGH (1981) o sucesso muito fácil diminui o "nível de expectativa" do aluno, ao passo que uma tarefa que não seja enganosa, que exija raciocínio e não sorte, conduzindo ao sucesso (o aluno tem condições psicolingüísticas de resolvê-la), estimula o"nível de expectativa" e, conseqüentemente, o INCENTIVO e a MOTIVAÇÃO.

[5] A razão pela qual está-se enfocando este tipo de curso é que ele tem como centro o aluno e suas necessidades. A metodologia instrumental visa a uma interação dos conhecimentos prévios e da vivência do leitor com técnicas de leitura e conhecimentos lingüísticos. Logo, o fator motivacional é vital, uma vez que, sem ele, o leitor não identifica necessidades e interesses em desenvolver sua habilidade de leitura em língua inglesa.

[6] BRITO, Sulami. *Psicologia da Aprendizagem Centrada no Estudante*. São Paulo, Papirus Livraria e Editora, 1983, p. 73.

[7] De acordo com Mc Donough (1981) os erros devem ser encarados como evidências de melhoras, uma vez que, se o aluno não estivesse engajado no processo de aprendizagem, talvez nem erros conseguiria cometer. Assim, os erros devem ser trabalhados, inevitavelmente, como tal, a fim de propiciar a compreensão, transformação e utilização da informação, realimentando a MOTIVAÇÃO e, conseqüentemente, o INCENTIVO.

PREPOSITIONS IN ENGLISH: A CHALLENGE TO THE
BRAZILIAN LEARNER

Rosa Maria Neves da Silva - UFMG

To understand the use of prepositions in Portuguese as
compared to their use in English, the role they acquired in the
modern version of these languages and then the difficulties the
Brazilian student has in learning them, one ought to know the
origins of prepositions in Portuguese —a romance language
directly derived from Latin— the source of the English prepositions,
and how they have changed in meaning. This evolution of the use
and meaning of prepositions is partly responsible for the
difficulties the Brazilian learner has in English.

The main prepositions analyzed in this paper, the most
commonly used in both languages, are in many cases substitutions
for inflections that originally appeared in Latin. Because Latin
is a synthetic language, the relations between nouns or between
a noun and a verb was largely shown by inflection. This was true
also of the Germanic languages, the language group to which
English belongs. The evolution of both the Latin and the Germanic
group into new languages, in this case Portuguese and English,
caused the appearance of most of the prepositions known today.
As Pyles says,

> Instead of retaining a complicated system
> of inflections (variations in the form
> words, usually by means of endings) such

> *as we find in Latin, Greek and Sanskrit,*
> *many modern languages make use of other*
> *devices to indicate grammatical*
> *relationships — word order, for instance,*
> *and what Charles Carpenter Fries, in* The
> Structure of English *(New York, 1925) and*
> *elsewhere has called 'function words'*
> *include words traditionally called*
> *prepositions, auxiliaries, conjunctions,*
> *articles, and words which may be*
> *substituted for them (such as possessive*
> *and demonstrative pronouns), and adverbs*
> *of negation and degree.*[1]

This shows that the role of prepositions is intimately related to the role of cases. Portuguese and English kept many inflectional endings in their early stage, and when both lost most of these endings, prepositions acquired an importance greater than they had ever had.

Pyles points out:

> *There was, in fact, need for more of them*
> *in the early Modern period of English to*
> *indicate grammatical relationships that*
> *had been indicated by the inflectional*
> *endings of earlier times.*[2]

In Portuguese, where the loss of the cases of Latin was total, (the only exception is for the personal pronouns) prepositions formed in various ways — combination of old prepositions, phrases acting as prepositions, and words which

acquired a new use — supplied the needs for more prepositions rather than the ones coming from Latin.

Pyles reinforces this explication saying about the evolution of the genitive in Latin:

> The Latin genitive has been completely
> lost in the languages derived from Latin,
> its function being performed by a
> preposition meaning of.[3]

In English the loss of cases for the nouns was also total, except for the possessive, e.g. *dog's tail, man's life*. In other cases English, like the romance languages, uses prepositional phrases: *the leg of the table*.

Pyles describes this fact saying that:

> Latin pater Caroli 'Charles's father', for
> instance, came to be expressed in French,
> Spanish and Italian respectively by le père
> de Charles, el padre de Carlos and il
> padre di Carlo, 'the father of Charles'.[4]

To extend this, in Portuguese it also became '*o pai de Carlos*', the preposition *de* (of) being kept in modern Portuguese. The preposition in question, *de* (of), is fully studied in this paper, for it constitutes one of the most common in Portuguese, standing for several interpretations in English. While in English *de* (of) can be paralleled by *from, belonging to, possessing,*

specified as, with, characterized by, having to do with, set aside for, during, and *before,*[5] in Portuguese "it took the meanings of *separation, movement from top to bottom, provenience,* and *movement from inside to outside,* which had each a specific word in Latin and early Portuguese."[6]

Matoso Câmara explains the use of the preposition *de* (of) in the possessive form of Modern Brazilian Portuguese: "The idea of *possession* evolved from the idea of *provenience* as shown by the example 'de tauro corium' (leather coming from a bull) in Latin."[7] This is the main cause of the misunderstanding of the genitive or possessive 's in English. The general tendency of the Brazilian-Portuguese learner is to use the prepositional form.

As this was the only 'case' left, this explication was necessary to clarify the reasons for errors from Portuguese to English.

All the other prepositions assuming important roles in the modern version of both languages also became the cause of many errors, especially because English and Portuguese, being creative, needed more and more prepositions to fulfill the needs to have new ways of expressing ideas. Creativeness was responsible, then, for the appearance of prepositional phrases and compound prepositions which have been changing meaning through the years. The prepositional phrase was formed in such a way that the noun lost its own particular meaning. It is now used "for all practical purposes, so that the phrase amounts to a new preposition."[8]

But these new combinations have developed a long way. Prepositions acquired new roles. Nowadays, modern authors have

been classifying prepositions in more sophisticated ways.

In a more traditional way, some authors classify the Modern Brazilian-Portuguese prepositions as *simple* and *compound*. The simple ones are understood to be formed by only one word, like *de, por, em, a,* while the compound prepositions are made up of two or more words and are also called "prepositional phrases" in Portuguese. Examples are: *por causa de, até a,* and *depois de.* Many of the Portuguese "prepositional phrases" do not have a correlate in English, that is, an English prepositional phrase formed in the same way. The Portuguese ones formed by two or more prepositions can serve to illustrate this case: *até a* cannot be *until at, para com* is not *to with.*

In English, prepositions are also divided into *simple* and *compound,* according to Francis.[9] The simple prepositions are formed by one word, e.g. *to, for, of, in, at* while the compound ones are made up of two, generally an adverb and a preposition as in *because of* and *up to,* and the phrasal preposition (that stands for the Portuguese prepositional phrase) is made by three words, including a preposition plus a lexical word. Examples. are: *in order to* and *in front of.*

Besides these categories, the English prepositions are found following certain verbs. Together they form expressions which do not have a correlate in Portuguese lexically formed in the same way. While English uses *call on* and *get up,* Portuguese only has *visitar* and *levantar.* The English two-word verb is always paralleled by a one-word verb in Portuguese. When this is the case, errors are common.

It is Politzer who says:

> *Verbs such as bring, call, come, get,*
> *give, hold, keep, make, put, run, take,*
> *turn, can combine with a large number*
> *of adverbials to express an astounding*
> *array of meaning.*[10]

This variety of sources, the fast development and the
large burden of various meanings carried out by the Portuguese
and the English prepositions are responsible for the
difficulties the Brazilian learner has in using them correctly.

Celso Cunha describes the role of prepositions in
Portuguese saying:

> *The preposition establishes the*
> *relation between two words, giving*
> *an idea of movement or static. In*
> *other words, they express movement*
> *or situation.*[11]

The table below showing the general interpretation of the
Portuguese prepositions is also from Celso Cunha.[12]   The same
table will be adapted to the English prepositions, and will
serve for comparing the uses of prepositions in the two
languages.

TABLE 1

GENERAL INTERPRETATION OF THE

PORTUGUESE PREPOSITIONS

```
                    ┌─────────────────────────┐
                    │ Basic Meaningful Content │
                    └─────────────────────────┘
                    │                         │
            ┌────────────┐              ┌──────────┐
            │  Movement  │              │  Static  │
            └────────────┘              └──────────┘
         │       │       │           │       │       │
      ┌───────┐┌──────┐┌────────┐ ┌───────┐┌──────┐┌────────┐
      │ Space ││ Time ││ Notion │ │ Space ││ Time ││ Notion │
      └───────┘└──────┘└────────┘ └───────┘└──────┘└────────┘
```
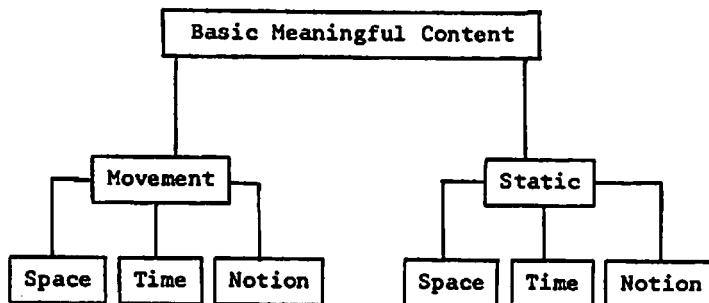
Under the headings presented in the chart, all the
Portuguese prepositions and the English ones can be shown.
However, only the most familiar are placed in the charts, for a
complete study of prepositions would demand a lot more time and
research.

BASIC MEANINGFUL CONTENT OF PREPOSITIONS IN PORTUGUESE AND IN ENGLISH

TABLE 2A

1. Movement

	a. Space	
Meaning	Portuguese	English
motion to a fixed point	PARA - Vou *para* Barbacena. A - ATÉ -	TO - TOWARD - I'm going *to* Barbacena.
motion past a fixed point	POR - Passei *pela* sua casa. - Ele jogou a bola *pela* janela.	BY - I passed *by* your house. THROUGH - He threw the ball *through* the window.
motion in opposite to an ending point	CONTRA - Ele jogou a bola *contra* a parede.	AGAINST - He threw the ball *against* the wall.
motion to the interior of a fixed place	EM - Ponha o lápis *na* gaveta.	INTO - Put the pencil *into* the drawer. IN
away from a fixed starting point	DE - *de* New York até o Rio. DESDE - *desde*	FROM - *from* New York to Rio.
away from an interior starting point	DE - Tire isso *da* gaveta.	OUT OF - Take this. *out of* the drawer.

DESCRIPTION - TABLE 2A

Some of the prepositions in the table need a description of
their use and form, and the possible correlation between them in
the two languages.

The preposition *a* involves many difficulties. It has its
origin in Latin, indicating direction and being derived from *ad*.
With this meaning, *a* parallels *para* (to). One would say: "Vou *a*
Barbacena," "Vou *para* Barbacena" or "Vou *até* Barbacena" — "I'm
going *to* Barbacena." No grammatical error is made in using either
of these prepositions, but the native speaker of Portuguese
"feels" that *a* should be used in some circumstances. A could mean
"staying there for a visit," *até* can in certain cases express the
idea of "as far as," *para* may stand for the idea of "remaining in
the place." However, sentences with *a*, *para* and *até* may or may not
show some difference in meaning depending on intonation or context.
A phrase like:"de Barbacena *ao* Rio" (from Barbacena *to* Rio), can
also use *para* or *até*, and no difference is made in its meaning.

A noticeable fact among learners is their tendency to say
the same *a* in English. The only reason found for this is the
similarity with the indefinite article *a* in English. As a
contraction between the preposition *a* and the definite article *a*
in Portuguese becomes *a* there is an interference with the English
article in the use of *a* meaning *to the* as in: "He went *to* school,"
"He went *a* school" — "Ele foi *à* escola."

As *a* is also used with accusative because of its Latin
origin, forming a contraction *na* (em + a), it is sometimes
translated as *in*. In Portuguese, both forms '*in à escola*' or '*in*

na escola' are easily encountered. This note explains the translation *'go in school'* instead of *'go to school'* so commonly made by Brazilian learners of English.

Another confusion is made between the prepositions *for* and *by* , shown in the previous table as being *por* . *Por* comes from *per* (route) and *pro* (front position) in Latin. Both *per* and *pro* were changed into *por* in Portuguese. Also the idea of *through* is expressed by *por* , and a prepositional phrase like "*by* the window" or "*through* the window" would be both "*pela* janela" in the following examples:

Jogou a bola *pela janela.*

He threw the ball *through the window.*

Passou *pela janela.*

He passed *by the window.*

As the reader can easily see, there is no way in Portuguese to differentiate the concepts of *by* and *through.*

There is also no special preposition in Portuguese to show "motion to the interior." Thus, the same preposition that indicates position within a limited physical space, in this case *in* in English, stands for *into* in Portuguese. Thus, *em* can be either *in* , indicating within a limited space, or *in* and *into* , indicating motion to the interior. In both cases, a prepositional phrase is also used: *dentro de.*

The preposition *de* is one of the most complex Portuguese prepositions. It was previously analyzed with the possessive case, but it must be described in some of its several uses. The idea of movement gives it another correlate in English: *from* . The Brazilian student sometimes tends to say: "The bus came *of*

Denver" instead of "The bus came *from* Denver." This is because
the immediate correlation he makes is with the idea of possession.
In this case, *de* parallels the genitive form *'s* as well as the
prepositional form used with inanimate objects in English. The
idea of starting point is also shown in the example *"out of* the
drawer" which is easily seen as *"from* the drawer" and
consequently *"da gaveta."*

TABLE 2B

1. Movement

b. Time		
Meaning	Portuguese	English
motion to a fixed time	PARA - Vou trabalhar de hoje *para* A - domingo. *a* ATE - *até*	UNTIL - I'll be working from today TO - *until* next Sunday. *to*
centered in a fixed time or: marking a limited period of time	POR - Ele trabalhou *por* duas DURANTE - horas. *durante* Ele trabalhou *durante* o dia.	FOR - He worked *for* two hours. - He worked *during* the day.
marking a starting point in time	EM - Ele estará aqui em duas ho- DENTRO DE - ras. *dentro de*	IN - He'll be here *in* two WITHIN - hours. *within*
away from a fixed starting point.	DE-Ele estudou de 2 às 4 da tarde DESDE - Ele está estudando *desde* as 2 horas.	FROM - He studied *from* 2 to 4 p.m. SINCE- He has studied *since* 2 o'clock.

DESCRIPTION - TABLE 2B

    Para , *a* and *até* are now shown in relation to time
paralleling *until* and *to* . *Até* remains giving the idea of 'no longer
than' and *para* loses the idea of remaining in a definite time.

    Por appears with the meaning of 'lasting for', now
paralleling *during* , for and *by* perfectly.*Por* and *durante* are both
used with the meaning of 'centered in a fixed time' in this case
being translated by *for* . Both again parallel *during* with the idea
of 'within a limited period of time'. However, some exceptions are
found. Compare the examples:

    ' *during* the day' '*durante* o dia'
    ' **for* the day' '**pelo* dia'

    ' *for* 2 hours'   '*por* duas horas'
    '**during* 2 hours '*durante* duas horas'

    While *for* establishes limits in time, *during* has indefinite
limits, but Portuguese does not use different words to show these
different ideas as one can see in '*durante* o dia' and '*durante*
duas horas'. However, it is not grammatical to say '**pelo* dia'
unless one makes use of the expression '*pelo* dia afora' or '*pela*
noite adentro'.

    The slight difference shown by 'in two hours' (at the end
of two hours) and 'within two hours' (before two hours are over)
is not shown in Portuguese even when the speaker uses the
preposition *em*, which can perfectly parallel both English words.
One would say:

    'Estarei lá *em* duas horas' meaning either 'I'll be there *in*

or *within* two hours'. There is, however, another prepositional phrase in Portuguese which can be used for *within* : 'Estarei lá *dentro de* duas horas'.

De parallels *from* when the ending point is also shown in the sentence: '*de* duas *às* quatro' (*from* two to four). If the action is still going on and there is no indication of end, *desde* and *since* are used. But, in the first example, *desde* is also grammatical in Portuguese although *às* is replaced by *até* : '*desde* duas *até* as quatro'. In English, however, *from* indicated that the action is completed, while *since* shows the incomplete action, and *for* cannot be used in these cases.

TABLE 2C

1. Movement

	c. Notion	
Meaning	Portuguese	English
away from a fixed starting point	DE – Ele ia de uma idéia a outra.	FROM – He was going *from* one idea to another...
indicating the first starting point	DESDE – *Desde* o primeiro trabalho	SINCE – *Since* his very first work.
manner	A – Passo a passo, ele criou uma nova obra-prima.	BY – Step by step, he created a masterpiece.

DESCRIPTION - TABLE 2C

Only *de*, *desde* and *a* paralleling *from* , *since* and *by*
respectively were found indicating the idea of movement in notion.
These prepositions reflect the idea of movement out of the context
of physical space, generally used in literary figures or idiomatic
expressions.

These prepositions do not show the idea of time, either.
The reader will understand that most of the uses of *de* , *desde* ,
and *a* in this case express language idioms but not purely an idea
of space or time. Other examples are: 'from one song to another',
'since her first look' and 'by using several ways' in Portuguese,
'de uma canção a outra', 'desde o primeiro olhar' and 'usando
vários meios'. Notice that in some cases none of the two languages
make use of a preposition. (See Table 2C — *'usando vários meios'*,
2E — *'Sunday morning'*, 2F *'wood house'*).

TABLE 2D

2. Static

Meaning	Portuguese	English
	a. Space	
relation between two points	DE - Sul de Chicago.	OF - South of Chicago.
position within a limited physical space	EM - em casa. - na gaveta. (also: dentro de)	AT - at home. INSIDE - in the drawer. IN - inside
definite position in relation to a point	EM - na mesa. SOBRE EM CIMA DE ACIMA DE - acima da mesa. DEBAIXO DE - debaixo da mesa. SOB - sob a mesa. AO LADO DE - ao lado dela. NA FRENTE DE - em frente da EM FRENTE A classe. DIANTE ANTE ATRÁS DE - atrás da porta. PERTO DE - Rio não é perto de Chicago LONGE DE - Rio é longe de Chicago.	ON - on the table. OVER - over the table. ABOVE - above the table. UNDER - under the table. BELOW - below the table. BESIDE - beside her. IN FRONT OF - in front of the class. BEHIND - behind the door. NEAR - Rio is not near Chicago. FAR FROM - Rio is far from Chicago

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TABLE 2D - continued

2. Static

a. Space

Meaning	Portuguese	English
identity with a fixed point	A - à porta.	AT - *at the door.* BY - *by the door.*
relation with two limits or several points	ENTRE - *entre* eu e você. *entre* tantos estudantes..	BETWEEN - *between* you and me. AMONG - *among* so many students..

DESCRIPTION - TABLE 2D

The Portuguese preposition *a* stands now for *at* and *by* .
The difference shown by both English prepositions is not made in
Portuguese. In this particular case, even the context is not
sufficient to make this difference clear in a Portuguese sentence.
'He stood *by* the door', which does not parallel 'He stood *at* the
door', is generally said 'Ele parou *ã* porta', also used for the
second meaning while 'Ele parou lã pela porta' or 'Ele parou
perto da porta' seems to be a possible translation for 'He stood
by the door'. There is also a colloquial use of contraction *na*
with the same meaning giving us: 'Ele parou *na* porta'.

Also, under and *below* are both translated by *embaixo de* ,
although the prepositional phrase *abaixo de* is used as *below* in
some contexts. A Brazilian-Portuguese speaker would say: 'embaixo
da mesa' but 'abaixo de zero', respectively 'under the table' and
'below zero'. *Abaixo de* can also mean 'inferior' in age, social
status, and also in statistical classification. Thus, my 'younger
brother' would be described in relation to me: 'Abaixo de mim,
tenho um irmão de 20 anos'. This sentence has no correlate use of
any preposition in English. Finally, the meaning of position in
relation to a physical object can be shown either by *embaixo de*
or *abaixo de* , while for all the other expressions rather than
the idea of physical position of two points in relation to one
another, *abaixo de* is preferred.

Between and *among*, which are no exact correlated in
English, are both translated by *entre* . As the reader could see
in the table, *entre* does not establish the number of limits

surrounding the main point. Either 'between two nice girls' or 'among several nice girls' is 'entre duas belas garotas' and 'entre várias belas garotas'.

Noticeable, however, is the number of parallels 'in front of' has in Portuguese. In fact, 'na frente dele' and 'diante dele' may or may not have difference in meaning depending on the context and situation. 'Na frente dele, eu tremi' and 'diante dele eu tremi' may be understood as 'because of his presence' while 'Eu estava na frente dele' or 'Eu estava diante dele' indicates the definite position in relation to a point.

TABLE 2E

2. Static

Meaning	Portuguese	English
b. Time		
fixed point in future time	PARA - lá *para* o fim do ano.	BY - *by* the end of the year. AT - *at*
within a definite period of time - season - early enough - months - definite point in time - days of the week	- *em* dois meses - *no* outono - *em* tempo EM- *em* Abril - *no* fim do ano - *na* quarta-feira	- *in* two months - *in* the fall - *in* time - *in* April - *at* the end of the year - *on* Wednesday
at a definite point of time - time of the day - part of the day - punctual - definite date - day of the week	- *às* duas horas A - *à* noite - *a* tempo - *a* 12 de abril - *aos* domingos	AT - *at* two o'clock - *at* night. - *on* time - *on* April 12 - *on* Sundays
at a definite point within a period - part of the day	DE - domingo *de* manhã - *de* manhã	Sunday morning (or *on*) IN - *in* the morning.
past a fixed date	APÓS - *após* o Natal. DEPOIS DE - *depois* do Natal	AFTER - *after* Christmas.
before a date in the future	ANTES DE - *antes do* Natal.	BEFORE - *before* Christmas.
not later than	POR - *pelo* Natal.	BY -*by* Christmas.
within a limited period of time	ENTRE - *entre* 2 e 4 da tarde.	BETWEEN - *between* 2 and 4 p.m.

DESCRIPTION - TABLE 2E

Em , standing for *in*, *on* and *at* makes no distinction in
any idea: *em casa* (at home), *em tudo* (in everything) and *em
cima da mesa*(on the table), *em Março* (in March), *aos domingos*
(on Sundays), illustrate exactly the problem. It is Politzer
who says:

> *To the native speaker of English it seems
> rather obvious that, in time designation,
> on is used with dates, days of the week,
> and names of holidays; in with months and
> years; at with hours. This distinction
> may prove confusing to many students, and
> practice may be required to avoid mistakes
> as* *at June, *at Saturday.*[12]

While this distinction seems quite easy to learn, the
previous study showed that this group of prepositions is one of
the most difficult to deal with, especially in the case of the
transposition from Portuguese to Englis⸺. The following statement
shows what seems to be the real cause of the difficulties:

> *In some instances, the use of prepositions
> with time expressions is not governed by
> any obvious rule and must be learned case
> by case: for example,* at night vs. in
> the morning.[13]

As the reader can easily see, the 'obvious' difference cited above is not seen at all by the Brazilian-Portuguese speaker who is used to say 'em Março' (in March), 'no Natal' (on Christmas), 'no domingo' (on Sunday), or 'na Primavera' (in Spring). It is necessary, however, to say that other prepositions are used with time in certain cases. 'De manhã' stands for *in the morning* , 'de tarde' for *in the afternoon* , and 'de noite' for *in the evening* or *at night* . 'At night' can also be translated by 'à noite'. This note shows that the use of prepositions with certain expressions of time which is optional in Portuguese, does not occur in English. The difference between 'on time' and 'in time' is made by 'na hora' and 'em (a) tempo' in Portuguese.

TABLE 2F

2. Static

	c. Notion	
Meaning	Portuguese	English
- in relation to - part of a whole - specified as	SOBRE - que é que você pensa *do* assunto? *sobre o* DE DE - *de* tudo um pouco - casa de madeira.	ABOUT - what do you think *of* the subject? OF OF - a bit *of* everything - wood house
- reason - purpose	POR - *pelo* prazer de... PARA - ela não está preparada *para* isso.	FOR - *for* the pleasure of ... FOR - she is not prepared *for* that TO - she is not prepared *to* do that
- condition	SOB - *sob* todos os aspectos	UNDER - *under* all circumstances.
- agent	POR - um livro escrito *por* Greene DE - um livro de Greene	BY - a book (written) by Greene

DESCRIPTION - TABLE 2F

Again, *de* stands for several uses and meanings. The
interesting fact is the change that occurs in the use of the
agent marker when the verb is deleted in Portuguese. *Por* is used
in the complete sentence but not if the verb does not appear. In
this case, one would say: 'Esta música foi escrita *por* Roberto
Carlos' but 'uma música *de* Roberto Carlos' either 'This song was
written *by* Roberto Carlos' or 'A song *by* Roberto Carlos' in English.

Por also shows complexity. Compare the examples: 'O livro
foi escrito *por* Rui Barbosa' (The book was written *by* Rui Barbo-
sa) where *por* is the agent marker, 'Sinto muito *por* ele' (I feel
sorry for him) - meaning on the behalf of, and 'Eu o vi *pela*
janela' (I saw him through the window).

It is clear that the general tendency is for the use of
one single preposition in English in any case.

The case of *para* and *por* constitutes another difficulty.
In a sentence such as 'let me do it *for* you' both 'Deixa que eu
faço isso *por* você' or 'Deixa que eu faço isso *para* você' can
be used. But the difference between 'He sent a letter *to* her'
and 'He sent a letter *for* her' may not be clearly indicated in
Portuguese, both using *para*. Anyway, the difference can be
shown as Portuguese allows a translation using *para* replacing
to and *por* replacing *for*. In any case, the ambiguous translation is
the most common.

A final note is to say that *para* preceding a verb parallels
in order to.

Besides the use of the simple prepositions described above,
there is the case of complement-types used with or without

prepositions in both languages, which can account for some of
the errors the learners may have.

In English, the cases of: 'I'll write him a letter' and
'He gave me a ride' find their counterparts in the Portuguese
sentences 'Eu lhe escreverei uma carta' and 'Ele me deu uma caro-
na'. In this case none of them used the prepositional form,
although this use is optional. Similarly 'I don't work on Saturdays'
can either be 'Eu não trabalho aos Sábados' or 'Eu não trabalho
Sábado', but 'She went home has to be 'Ela foi para casa'.

Matoso Câmara explains the situation:

> *In Portuguese there are only two complement-
> -types that may appear without a connecting
> preposition: 1) the direct-object, a
> constituent that completes the meaning of
> the so-called transitive verbs, and 2) certain
> other complements of an adverbial nature. In
> the second category specific conditions must
> obtain and the use of a preposition always
> remains a latent possibility (in domingo -
> in no domingo, trabalhar três horas, por
> três horas). Even in the first category,
> for objects that are 'people' rather than
> 'things', there is a special pattern with
> the preposition a ('to') in free variation
> with the general pattern (ex.: amar os pais,
> aos pais).*[14]

Another concern is the formation of contractions in
Portuguese which never occur in English. Brazilian students
can either have the tendency to include or avoid the article in

English in many situations. This, of course, is not an error in the use of the preposition itself but it proves the fact that prepositions cannot be analyzed in isolation but they involve or are involved with other grammar facts to them.

The prepositions *de*, *por* , *a* and *em* are the basis for the contractions in Portuguese:

de + o = do	por + o = pelo	
de + a = da	por + a = pela	
de + os = dos	por + os = pelos	
de + as = das	por + as = pelas	
a + o = ao	em + o = no	
a + a = as	em + a = na	
a + os = aos	em + os = nos	
a + as = às	em + as = nas	

Maria Isabel Abreu explains the occurrence of the preposition *a* : "When the preposition *a* occurs before the definite article, it combines with the article."[15]

The reader probably noticed that the preposition *em* rarely occurs in its primitive form, but the contractions are commonly used instead.

Contractions are also made with the indefinite article, and with demonstratives.

Notice that no contractions are made with the prepositions *a* and *por* and the indefinite article.

It is obvious that the great variety of formation of these prepositions influences greatly the selection of English prepositions to be used. These contractions influence the use of

the English prepositions because many times the learner is led
to put articles after them or to avoid the article where is
should be used.

　　Finally, one should be aware of the fact that the Portuguese
use of prepositions may be extremely varied in relation to a
repeated English structure as the examples below show. It seems
easy to conclude that a final solution to the learner's problem
has not been reached, but that observation and training are
recommended to minimize his difficulty. Observe the Portuguese
translation for the particle *to*:

　　　　'like *to* dance'　　=　'gostar *de* dançar'

　　　　'want *to* go'　　　=　'querer ir'

　　　　'ready *to* go'　　　=　'pronto *para* ir'

　　　　'begin *to* study　　=　'começar *a* estudar'.

NOTES

[1] Thomas Pyles, *The Origins and Development of the English Language*, 2nd. edition,(New York: Harcourt Brace Jovanovich, 1971), p. 15.

[2] Pyles, p. 222.

[3] Pyles, p. 15.

[4] Pyles, p. 15.

[5] Webster's New World Dictionary,(New York: The World Publishing Company, 1971), p. 518.

[6] Joaquim Matoso Câmara Jr., *The Portuguese Language*, p. 153.

[7] Câmara, p. 153.

[8] Earl W. Thomas, *The Syntax of Spoken Brazilian Portuguese*, p. 252.

[9] Nelson W. Francis, *The Structure of American English*,(New York: Ronald Press, 1958), pp. 306-07.

[10] Robert and Frieda Politzer, *Teaching English as a Second Language*,(Lexington: Xerox College Publishing, 1972), p. 230.

[11] Celso Cunha, *Gramática do Português Contemporâneo*, p. 378.

[12] This table is a translation of the one used by Celso Cunha. The division and titles were kept as close to his idea as possible.

[13] Politzer, p. 235.

[14] Robert Lado, *Linguistics Across Cultures Applied Linguistics for Language Teachers*, (Ann. Arbor: University of Michigan Press, 1957), p. 9.

[15] Câmara, p. 153.

[16] Maria Isabel Abreu and Cléa Rameh, *Português Contemporâneo*, (São Paulo: Editora Vozes, 1969), p. 105.

DIFFERENT APPROACHES TO THE STUDY OF SENTENCE ADVERBS

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1. INTRODUCTION

A difficult problem that grammarians have to face concerns adverbs. Perhaps because adverbs play a variety of semantic and syntactic roles in English, they have been the least studied and the most badly treated part of speech.

In this paper, we will consider how sentence adverbs have been treated up to now. Our position is a reflection of the way in which both traditional grammar and contemporary linguistics (structural, transformational and eclectic approaches)deal with the subject.

The aim here is, of course, not to present solutions to the several problems raised by grammarians, but to compare their approaches so as to evaluate the various formulations that have been suggested for the classification of English sentence adverbs and their possible application in the description of English grammar.

As far as traditional grammar is concerned we will consider the analysis proposed by Zandvoort who, in spite of presenting some limitations inherent in the approach adopted by notional grammarians, proved to be aware of some points which even nowadays have been considered relevant to the study of sentence adverbs.

In our analysis of the problem the description given by Nelson Francis, especially concerning phonological aspects, will

represent the structuralist point of view.

The importance of transformational generative grammar may be felt through the influence it has exerted with respect to syntactic criteria. Therefore it could not be excluded here. Following this specific current we will consider the work of Eirian Davies, which, however, presents some gaps and limitations.

We also have to consider the descriptions given by Sidney Greenbaum in his *Studies on English Adverbial Usage* and the one given by Quirk et alii in *A Grammar of Contemporary English*. The eclectic point of view of these writers accounts for the fact of their being included in this paper. The relevance of their approaches lies in the fact that not only syntax but also semantics and phonology are taken into account.

More recently two other descriptions of English adverbials have been suggested.

In 1972, a different insight was presented by Jackendoff, whose grammatical theory incorporates an interpretative semantic component. In his paper, he considers that a cross-classification of syntactic and semantic functions is necessary to keep syntactic and semantics distinct. The importance of his description, concerning the subject matter of this paper, is mainly because of the restrictions he points out related to transformational approach.

A more recent source to be considered is the paper by Allerton and Cruttenden which also includes syntactic, semantic and phonological criteria to account for the classification of sentence adverbs in English.

The first problem we are faced with in the study of sentence adverbs in English is the lack of a rigorous definition

of the terms used and, consequently, the employment by several
authors of either different terms, to designate different concepts.

Starting from the concepts, we will consider here what is
understood by "sentence adverb" and the problems of isolating
sentence adverbials as a class.

Since it would lead us to a very long discussion to go into
all the complicated problems raised by every type of sentence
adverb in detail, our attention turns to what Greenbaum has termed
Style Disjuncts.

The controversial points as well as the similarities that
may occur among the writers' formulation and the difficulties foun
in classifying the items will be pointed out.

Finally some conclusions will be drawn and at that point we
shall be able to understand that it is impossible to classify
sentence adverbs in terms of just one of the criteria suggested,
whether syntactic, semantic or phonological. The problem is much
more complex than it was expected to be.
Note: All the examples given were taken from the references.

2. SENTENCE ADVERBS

2.1 - Definition

Different terminology has been employed in almost every
grammatical description to refer to the concept of 'sentence
adverb'.

The term 'sentence adverb' is traditionally used to
designate those adverbs that, as was pointed out by Zandvoort,
"are often equivalent to a sentence (or clause)",as, for example,

WISELEY and PRESUMABLY in sentences like:

> *He WISELY held his tongue.*
> * *He held his tongue which was wise.*
>
> *His own share in the undertaking was PRESUMABLY a modest one.*
> * *His own share in the undertaking was a modest one as may be presumed.*
> *(Zandvoort, p. 250)*

An adverb functioning as a sentence adverbial refers to the whole combination of the subject and the predicate

> *There is a tendency for the adverbial adjunct to dissociate itself from the sentence it qualifies, and take up a semi-independent position. This may be indicated in writing by a comma.*
> *(Ibid., p. 204)*

Thus, FORTUNATELY in:

FORTUNATELY, I had plenty of food with me.

is a sentence adverb, distinct from QUIETLY in:

She QUIETLY sat down.

QUIETLY refers to a group of words outside the subject and does not take up a 'semi-independent position' with regard to the rest of the sentence; thus, QUIETLY is not a sentence adverb.

The terms 'sentence adverbs' or 'sentence adverbials' are also used in more recent works such as the ones by Jackendoff and

by Allerton and Cruttenden similarly referring to the concept
mentioned above, though their approaches vary considerably in
other respects.

Allerton and Cruttenden do not exactly define what a
sentence adverb is. Instead, they present criteria to identify the
items and to classify them.

Jackendoff also is not concerned with concepts and
definitions since his insight of the problem is a theoretical one,
and therefore related to formulation of grammatical rules.

Following the structural analysis of the sentence in terms
of its immediate constituents, Nelson Francis defines a sentence
adverb, which he calls a 'sentence-modifier', as

> *a modifier whose head is all the rest of the
> sentence of which it is a part.*
> *(Francis, p. 399)*

Thus, a sentence which contains a 'sentence-modifier' is

> *a single large structure of modification,
> consisting of the usual two immediate
> constituents: head and modifier.*
> *(Ibid., p. 399)*

His definition, however, does not concern adverbs
specifically but refers also to other types of 'modifiers' of
sentences, without characterizing what are traditionally called
sentence adverbs.

It seems that the clearest way of defining a sentence adverb is the one presented by Greenbaum and by the authors of *A Grammar of Contemporary English*, though they do not use this term. They divide adverbials into two main classes according to the degree of their integration into the structure of the clause. Those that are INTEGRATED to some extent into the clause structure are termed ADJUNCTS (non-sentential) and those that are PERIPHERAL to the clause structure correspond to what has been called 'sentence adverbs'.

An adverbial may be said to be integrated into the clause structure if it is affected by clausal processes. Therefore, sentence adverbials are not affected by clausal processes.

Many writers include among these, adverbs such as THEREFORE and NEVERTHELESS, which have a connective function, linking sentences. This position is taken not only by Greenbaum, Quirk and the authors of *A Grammar of Contemporary English* but also by Allerton and Cruttenden.

Nelson Francis seems to be in doubt as to what to include them among. He presents adverbs of this sort as being sentence modifiers functioning as, what he calls, 'sequence signals', which correspond to traditional 'conjunctive adverbs'. He points out, however, that

> *they should, in fact, not be called adverbs*
> *at all, but should be treated as a separate*
> *class of function words and called by some*
> *such name as 'sentence-linkers'.*
> *(Ibid., p. 471).*

since their only function is to link sentences.

Eirian Davies is not concerned with 'linking' adverbs of this kind. In her paper she simply mentions them.

3. PROBLEMS OF ISOLATING SENTENCE ADVERBIALS

Various approaches have been proposed for identifying sentence adverbs as a class and for setting up their subclasses.

In general, grammarians fail to be precise about the criteria adopted or fail even to provide any criteria for isolating sentence adverbs.

One of the tests that have been proposed is that sentence adverbials are formed from adjectives which can take an abstract subject nominal (Schreiber, p. 83-102), e.g.

        The idea was fortunate.

However, this does not apply to adverbials which are not derived from adjectives and does not even cover all classes of adverbials.

Transformational accounts of adverbs postulate that they originate from deep structure sources similar to paraphrases which do not contain the adverb. But generally cannot be expected in the underlying forms of surface adverbials. There are many cases where a related adjective exists but cannot be used to form a convincing paraphrase, e.g.

        The men were INDIVIDUALLY asked to leave.

        * It was individual that the men were asked
          to leave.

        * The manner in which the men were asked to

leave was individual.

Irving FINALLY broke down and proposed to Daisy.

* It was final that Irving broke down and proposed
to Daisy.

* The event in which Irving broke down and proposed
to Daisy was final.

Tom ABSOLUTELY refuses to give up.

* The degree to which Tom refuses to give up is
absolute.

* Tom is absolute in refusing to give up.

A positional criterion has always been applied to isolate
sentence adverbs. However, they cannot be identified solely by
position.

Most sentence adverbs may occur in four different positions:
initial, medial before the auxiliary, medial between auxiliary and
lexical verb and final position, e.g.

PROBABLY John was hurt.

John PROBABLY was hurt.

John was PROBABLY hurt.

John was hurt, PROBABLY.

On the other hand many non-sentence adverbs present
some restrictions in·their occurence in these positions. For
example, degree adverbs like SLIGHTLY may occur only before the
lexical verb or finally

* SLIGHTLY John was hurt.

* John SLIGHTLY was hurt.

John was SLIGHTLY hurt.

John was hurt SLIGHTLY.

As regards intonational criteria we may say they are not

satisfactory at all. In initial position many sentence adverbs
have a separate intonation-group and a falling-rising tone which
many other kinds of adverbs (notably most of place and time) also
have.

It was suggested that, in final position, most sentence
adverbs have a low rising intonation, others, like DEFINITELY,
must have a high fall. Thus it can be said that sentence adverbials
obligatorily have a low-rise or high-fall in final position. The
problem, then, is that it is also possible for those which have
high-fall to have low-fall in final position and it is equally
possible for many other types of adverbials to have high-fall in
final position.

Greenbaum suggests some diagnostic criteria to identify an
adverb which is not sentential, that is, an 'adjunct'. If an
adverbial fulfills one or more of the following conditions it is
an ADJUNCT:

1. it cannot appear initially in a negative
   declarative clause
   *QUICKLY they didn't leave for home.
   but
   PERHAPS they didn't leave for home.
2. it can be the focus of negation
   He didn't walk SLOWLY - he walked QUICKLY.
   but
   *He didn't walk PROBABLY - he walked POSSIBLY.
3. it can be the focus of interrogartion
   Did he walk SLOWLY or QUICKLY?
   but
   *Did he walk PROBABLY or POSSIBLY?

Those that do not satisfy any of the above criteria correspond to what have been called 'sentence adverbs' which, according to Greenbaum, may be of two types: DISJUNCTS and CONJUNCTS.

To distinguish between them, he proposes another test: DISJUNCTS can serve as a response to YES/NO questions, though they usually require to be accompanied by YES or NO; whereas CONJUNCTS cannot serve as a response either to YES/NO questions or WH-questions even if they are accompanied by YES or NO. Examples:

Does India face famine? BRIEFLY, yes.

Is the analogy helpful? *HOWEVER, yes.

Allerton and Cruttenden, however, present some examples to show the latter test fails to assign correctly some of the so-called CONJUNCTS, which can also serve as a response to YES/NO questions when accompanied by YES or NO:

D' you think he's suitable for the post?

OVERALL, yes.

Did John do well in the exam? ON THE CONTRARY, no.

Eirian Davies was also unfortunate in presenting, among other things, an inadequate test for isolating sentence adverbs. By using the term CLAUSE COMMENT ADJUNCTS, she refers to those items which were classified by Greenbaum as DISJUNCTS. According to her, all other adjuncts which are not CLAUSE COMMENT can be subject to clefting, e.g.

INITIALLY I was rather against the idea.

= It was initially that I was rather against the idea.

(Davies, p. 5).

This is not true for other kinds of sentence adverbs such as INCIDENTALLY, OTHERWISE and even for some frequency adverbs like

OFTEN, NEVER or for some manner adverbs like QUICKLY, which cannot
be subject to clefting, as was pointed out by Allerton and
Cruttenden. (cf. Allerton & Cruttenden, p. 4).

Eirian Davies subdivides her COMMENT ADJUNCTS into two main
classes: PRESENTATION and INTERPRETATION COMMENT ADJUNCTS which
correspond to Greenbaum's classification of DISJUNCTS into STYLE
and ATTITUDINAL ADJUNCTS, respectively.

Allerton and Cruttenden, accepting some of the categories
suggested by Greenbaum and by Davies, propose four main classes of
sentence adverbs according to a 4-point test based on the
possibilities of occurrence for adverbs in YES/NO questions
themselves, in initial position and in final position with nuclear
accent and on their transformational relationship to adjectival
and adverbial constructions. (Ibid., pp. 4-5)

They divide sentence adverbs into: INTERPRETATION,PRESENTATION,
CONTINGENCY and CONJUNCTIONAL. The first two classes correspond to
what Davies calls CLAUSE COMMENT ADJUNCTS and to Greenbaum's
ATTITUDINAL and STYLE DISJUNCTS, respectively, whereas some adverbs
of the second two correspond to his CONJUNCTS.

4. STYLE DISJUNCTS

4.1 - Concept

DISJUNCTS - whether STYLE or ATTITUDINAL - convey some
comment on the communication. Therefore, it is not without reason
that Davies refers to them as CLAUSE COMMENT ADJUNCTS.

The comment expressed by ATTITUDINAL DISJUNCTS refers to the

content of the communication whereas STYLE DISJUNCTS, as was pointed
out by Quirk et alii

> *convey the speaker's comment on the form of*
> *what he is saying, defining in some way*
> *under what conditions he is speaking.*
> *(Quirk et alii, p. 508)*

The term STYLE DISJUNCTS is an adaptation of Jespersen's
'style-tertiaries' and first used by Greenbaum to refer to what
Poldauf has called 'the form of communication'.

Jackendoff also distinguishes two types of sentence adverbs:
those "relating the speaker's attitude towards the event" and those
that "comment on the subject of the sentence." (Jackendoff, p. 56).

As was mentioned above, PRESENTATION COMMENT ADJUNCTS and
PRESENTATION SENTENCE ADVERBS are other terms used by Davies and,
more recently, by Allerton and Cruttenden to express pratically
the same concept of Greenbaum's STYLE DISJUNCTS.

4.2 - Subcategorization

Although Quirk et alii have given an adequate definition of
such kind of sentence adverbs, it seems that their subclassification
of the items which belong to this class is not good. Items such as
BLUNTLY, CANDIDLY, FLATLY, FRANKLY, HONESTLY, SERIOUSLY, STRICTLY,
TRULY, TRUTHFULLY are classed as STYLE DISJUNCTS which convey the
speaker's assertion of truth of what he is saying (Group A), e.g.

SERIOUSLY, do you intend to resign?

> FRANKLY, he has a chance.
>
> STRICTLY speaking, nobody is allowed in here.

Another group (B) of adverbs expresses the speaker's "indication of generalization," as they pointed out, and includes adverbs such as APPROXIMATELY, BRIEFLY, BROADLY, CRUDELY, GENERALLY, ROUGHLY, SIMPLY, e.g.

> BRIEFLY, there is nothing more I can do about it.
>
> You ask me what he wants. Quite SIMPLY, he wants
>
> to move to a better climate.

A third group includes items such as CONFIDENTIALLY, LITERALLY, METAPHORICALLY, PERSONALLY, which they don't know how to classify and so, they set them up as 'others', e.g.

> PERSONALLY, I don't approve of her.
>
> I don't want the money, CONFIDENTIALLY.

Davies gives us three types of PRESENTATION COMMENT ADJUNCTS. The first group, referred to as SPEAKER-ORIENTED, consists of items such as FRANKLY, HONESTLY, which,according to her,

> *may be thought of as attributing a quality to*
> *the speaker himself as well as to his*
> *presentation of what he has to say.*
> *(Davies, p. 10)*

She gives examples:

> HONESTLY, no one could have taken more trouble
>
> about it.
>
> FRANKLY, the lecture lasted far too long.

The second group of PRESENTATION COMMENT ADJUNCTS consists of

adverbs which are not subject-oriented and can be illustrated by
BROADLY, BRIEFLY, ROUGHLY, GENERALLY, e.g.

> BROADLY, the essence of running a university is
> to know what you stand for.

The other group she presents expresses the point of view
from which the speaker makes a comment. This group includes:
LINGUISTICALLY, OFFICIALLY, PERSONALLY, e.g.

> OFFICIALLY, these gates close at seven.
> LINGUISTICALLY your description leaves much to be
> desired.

Quirk et alii consider such items as viewpoint adjuncts
because they allow the features general to adjuncts, except that
they cannot be modified. According to them, both viewpoint adjuncts
and STYLE DISJUNCTS may have correspondences with 'speaking' but
viewpoint adjuncts do not allow the other correspondences for STYLE
DISJUNCTS.

Allerton and Cruttenden divide their PRESENTATION SENTENCE
ADVERBS into four subclasses according to which of the transformations
presented applies to them. The four subclasses are: 1) VIEWPOINT-
ORIENTED: LEGALLY, SCIENTIFICALLY; 2) SPEAKER/LISTENER-ORIENTED:
HONESTLY, FRANKLY; 3) STYLE-ORIENTED: BRIEFLY, LITERALLY; 4) VALIDITY-
ORIENTED: BROADLY, OSTENSIBLY.

4.3 - Correspondences

It has been very common among grammarians to express the
relationship of a STYLE DISJUNCT to its clause by means of a
corresponding structure in which a verb of speaking is present.
In such a corresponding clause the STYLE DISJUNCT is a process

adjunct and the subject is the I of the speaker.

A series of different paraphrases has been given, as, for instance, for CONFIDENTIALLY, in:

> CONFIDENTIALLY, she is very stupid.

that may have the following correspondences:

> I am speaking confidentially when I say (that)...
>
> I am putting it confidentially when I say (that)...
>
> I tell you confidentially (that)...
>
> I would say confidentially (that)...
>
> If I may speak confidentially I would say (that)...
>
> If I may put it confidentially I would say (that)...

Other examples can be given:

> FRANKLY, he hasn't a chance.
>
> In all frankness, he hasn't a chance.
>
> To be frank/ to speak frankly/ to put it frankly,...
>
> Frankly speaking...
>
> If I may be frank,...

However, not all STYLE DISJUNCTS will allow all the above constructions.

It is worth noting that correspondences have to be equivalent in meaning to the original clause. We may have some constructions that might be taken as related to a clause containing the STYLE DISJUNCT which are, however, different in cognitive meaning. For instance, the sentence

> HONESTLY no one could have taken more trouble
> about it

is not cognitively the same as:

> It is honest that no one could have taken more
> trouble about it.

According to Jackendoff, the existence of a paraphrase with an adjective construction is somewhat fortuitous. When there is a paraphrase its importance is that it indicates a lexical relationship and that the semantic structure of the paraphrase can tell us something about the semantic structure related to the adverb.

Jackendoff considers that the transformationalist position of predicting the orientation of sentence adverbs by means of the exact form of the paraphrase is "clearly untenable" since paraphrases are hopelessly varied. (cf. Jackendoff, p. 57).

In his opinion the presence of the I of the speaker or the subject somewhere in the paraphrase is also weak to predict whether the orientation refers to the subject or to the speaker since there are some cases in which orientation is revealed by the reference of the deleted subject as in:

> To tell the truth, Bill has ruined his chances
> for inheritance.

He has pointed out that orientation of sentence adverbs is much more a matter of semantics than of transformational theory, thus, it would be a loss of generality to account for adverb orientation transformationally.

It seems, then, that there is a conflicting point between Jackendoff's insight and the approach given by Davies with respect to their classification of items according to the orientation of sentence adverbs.

On the other hand, Allerton and Cruttenden consider that transformational tests are useful only to identify the majority of the members of the class. Those adverbs to which the tests cannot be applied are then ascribed to a group on the basis of apparent

syntactic and semantic similarity with the other members of the class.

4.4 - *Intonation and Position*

As was pointed out, sentence adverbs may occur in initial, medial and final positions within the sentence.

The most common position for sentence adverbs is at the beginning of the sentence. Unless some special intonation is given, most adverbs are to be considered sentence adverbs when occurring in this position in which they have a separate group and a falling rising tune.

When occupying medial or final position, sentence adverbs are often structurally ambiguous since other kinds of adverbs can also occur in these positions. In cases of ambiguity, intonation very often provides the intended meaning.

It is less common for a sentence adverb to appear in final position, but when it does occur there it takes a rising sentence-final contour, as it was observed by Nelson Francis. (cf. Francis, p. 408).

Allerton and Cruttenden consider that it is possible for sentence adverbs to have either low rise or high fall intonation when in final position.

It seems that the most detailed analysis we have considered with respect to the intonation of sentence adverbs was proposed by Allerton and Cruttenden. The other writers have also mentioned this point but not so exhaustively. The description given by Allerton and Cruttenden is concerned mainly with initial position. They have also treated intonational aspects of sentence adverbs in

isolated position, that is, as a sentence in themselves, following statements or questions.

As far as the so-called STYLE DISJUNCTS are concerned, Allerton and Cruttenden have made some considerations which could not be excluded here. As they present a different classification compared to other writers, their terminology and subclassification will be maintained at this point.

Although most classes of sentence adverbials can occur in initial position as part of the pre-nuclear tune, that is, without the main accent, SPEAKER/LISTENER-ORIENTED and STYLE-ORIENTED adverbials require a separate group with a consequent nuclear tune.

> * | HONESTLY I don't think he will |
>
> ☆ | BRIEFLY he decided to give up |

Those adverbs which are grouped as VIEWPOINT and VALIDITY can occur as part of the pre-nuclear tune in initial position though they may take level tunes as alternative intonation:

> LEGALLY | it's possible
>
> BASICALLY | I agree.

4.5 - Intonation, Syntax and Semantics Combined

VIEWPOINT-ORIENTED adverbials have the possibilities of either (a) a separate group with fall-rise, or (b) no separate group and a fall followed by a rise later in the sentence, e.g.

> How would you rate his ability?
>
> (a) ᵛLINGUISTICALLY | he is fairly ˋcompetent.
>
> (b) ˋLINGUISTICALLY he is fairly ´competent.

Intonation determines two different meanings here. According to Allerton and Cruttenden, in all sentences with a VIEWPOINT adverbial a proposition is offered with a reservation. In the examples above, reservation is marked by intonation. In (a) the speaker is less concerned with the VIEWPOINT reservation, he gives the impression he thinks the proposition would appear to be generally valid. Falling intonation in (b) implies that the general proposition may not be true or that the speaker expects it to be disputed.

Adverbs such as HONESTLY, SERIOUSLY, TRUTHFULLY, FRANKLY, CONFIDENTIALLY and CANDIDLY, which are called by Allerton and Cruttenden SPEAKER/LISTENER-ORIENTED, depending on their occurrence either in statements or in questions differ in their transformational relationships

$$\left.\begin{array}{c}\text{HONESTLY}\\[4pt]\text{FRANKLY}\end{array}\right\}\ \text{I'm quite fond of her.}$$

$$\longleftrightarrow\ \text{I'll be}\ \left\{\begin{array}{c}\text{HONEST}\\[4pt]\text{FRANK}\end{array}\right\}\ \text{and tell you I'm quite fond of her.}$$

$$\left.\begin{array}{c}\text{HONESTLY}\\[4pt]\text{FRANKLY}\end{array}\right\}\ \text{d'you like her?}$$

$$\longleftrightarrow\ \text{Be}\ \left\{\begin{array}{c}\text{HONEST}\\[4pt]\text{FRANK}\end{array}\right\}\ \text{and tell me whether you like her.}$$

HONESTLY, SERIOUSLY, TRUTHFULLY when they occur in statements have a falling intonation with a separate group whereas FRANKLY, CONFIDENTIALLY, CANDIDLY have got a fall-rise with a separate group. The former group suggests some scepticism on the part of the listener and falling intonation asserts honesty and seriousness; the latter has nothing to do with the truth-value of the statement

but suggests that a concession is made by the speaker in saying something.

However, generalization cannot be made since there are cases in which TRUTHFULLY may also occur either with fall-rise with a separate group or, with fall plus "tail," i.e., the adverbial has a falling intonation followed by the rest of the sentence on a low pitch as a "tail" to the fall. It is also possible for HONESTLY to occur with fall plus tail.

In questions, both groups require a falling intonation:

　　`HONESTLY | d'you think he'll come?

　　`FRANKLY | d'you think he'll come?

Most of the so-called STYLE-ORIENTED (BRIEFLY, LITERALLY, METAPHORICALLY, SPECIFICALLY, etc.) occur with a fall-rise with a separate group:

　　ᵛBRIEFLY | he lost his nerve.

　　METAᵛPHORICALLY speaking | he put his foot down.

The group containing items like BASICALLY, ESSENTIALLY, RELATIVELLY, SUPERFICIALLY (VALIDITY-ORIENTED) require a fall-rise with a separate group or fall plus rise with a slight difference in presuppositions in each case

　　SUPERᵛFICIALLY | he's a good teacher.

　　SUPER`FICIALLY | he's a good teacher.

In the first sentence, 'he's a good teacher' seems to be 'new' whereas in the second it seems to have been mentioned previously.

The approach given by Allerton and Cruttenden concerning intonational, syntactic and semantic aspects combined proved to be much more detailed than the others. For this reason, to make a parallel between them is quite out of the question.

5. CONCLUSION

Because of the great complexity that involves English
adverbials, it has been very difficult to classify them and, as
regards sentence adverbs, we have seen that many points have been
left unclear. Some grammarians, for instance, have not even defined
what a sentence adverb is. Others, on the other hand, do not mention
this term, though they have set up some classes for what we may
call sentence adverbs.

Different terminology has been employed in the classification
of the items, according to the various approaches and criteria
adopted.

We have also noticed that grammarians are not in general
agreement about the items that are included in the several groups.
Moreover, they either fail to be precise about the criteria to be
employed in assigning adverbs to this or that class or fail to
provide any criteria. Thus many problems have been faced for
isolating sentence adverbs as a class.

For a grammatical analysis to be valid, rigorous as it might
be, it would demand an explicit basis for the classification in the
form of the criterion whereby grammatical elements are classified.

For the purpose of the grammatical description of sentence
adverbs in English there are several limitations inherent in the
approach adopted by notional grammar which consists of selecting
items intuited to be similar and listing them mainly in terms of
the position they occupy in a sentence.

On the other hand, the correspondence relationships treated
in terms of transformational-generative grammar is not satisfactory
at all, with respect to formulation of rules to classify sentence

adverbs. A classification based on correspondence relationships does not coincide completely with one based on syntactic features nor does it coincide completely with a semantic classification.

We cannot even distinguish sentence adverbs solely by position and intonation and punctuation, although for given items their function may be unambiguous in a given context if the items are in certain positions or are accompanied by certain intonation or punctuation features. Classification may be attempted on the basis of the probability of a particular semantic interpretation.

What we may conclude from the various approaches considered is that most descriptions lack completeness and that the study of sentence adverbs reflects a conflict that is not settled yet.

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DIE SYNTAKTISCH-SEMANTISCHE ROLLE DER NOMINALENDUNGEN IM DEUTSCHEN

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0. EINLEITUNG

Mit der Frage nach einer guten Grammatik muss sich jeder Sprach-
lehrer beschäftigen. Als Fremdsprachen — oder Muttersprachlehrer
kommt man früher oder später zu dem Punkt, wo man sich fragen
muss, ob, wann, wie Grammatik unterrichtet werden soll.
Und je mehr verschiedene Grammatiken verglichen werden, um so
deutlicher wird die Notwendigkeit, für jede Sprache eine ange-
messene Grammatik zu schreiben, die diese Sprache als geschlos-
senes System betrachtet und deren Beschreibung nur im System
selbst sucht, eine Grammatik,der eine bestimmte Sprache als
Kontext im weiteren Sinne dient.

Diese Arbeit versucht deswegen, die Nominalendungen im
Deutschen als Teil eines für die deutsche Sprache charakteris-
tischen Systems zu behandeln, syntaktisch-semantische Beziehun-
gen im Satz auszudrücken. Diese Endungen werden darum hier in
der Nominalgruppe analysiert, also in ihrem unmittelbaren Kontext.

1. DIE NOMINALENDUNGEN IM DEUTSCHEN

1.1 - Allgemeines

Hier sollen die Endungen behandelt werden, die mit den

flektierbaren Wörten der deutschen Sprache gebraucht werden:
Personal -,Demonstrativ -,Possessiv -, Fragepronomen, Artikeln,
Adjektiven und Substantiven: Nominalendungen.
Die Pluralendungen der Substantive sollen nur zusammen mit Ar-
tikelformen behandelt werden, also nur innerhalb einer Nominal-
gruppe.

Aus systematischen Gründen wird schon zu diesem Punkt
meiner Arbeit die Funktion der Nominalendungen innerhalb einer
Nominalgruppe von ihrer Funktion im Satz getrennt.

1.2 - Die Syntaktische Funktion der Nominalendungen

Die Nominalendungen haben im Deutschen in erster Linie
die syntaktische Funktion, Nomen und deren Rolle innerhalb einer
Nominalgruppe zu kennzeichnen, da sie Kasus, Numerus und Genus
der bettreffenden Substantive angeben. Aus diesem Grunde halte
ich die Einbettung der Nominalgruppe in einen Satz für die syn-
taktische Hauptfunktion der Nominalendungen innerhalb einer No-
minalgruppe.[1] Diese syntaktische Funktion beruht auf dem Zu-
sammenspiel der Nominalendungen in der Nominalgruppe:

1. "Seinen eigenen Bürgen hat der Kreml das im Dezember ver-
sprochene Lebensmittelprogramm bisher nicht einzulösen ver-
mocht."[2]

In diesem Beispielsatz wird die Nominalgruppe "sein<u>en</u>
eigen<u>en</u> Bürger<u>n</u>" durch dieses Zusammenspiel der Nominalendun-
gen in den Satz eingebettet.
In der Nominalgruppe "<u>das</u> i<u>m</u> Dezember versprochen<u>e</u> Lebensmittel-
programm" ermöglicht dieses Zusammenspiel, ausser der Einbettung
der ganzen Nominalgruppe in den Satz auch die Einbettung einer

Nominalgruppe in eine andere Nominalgruppe:"das/im Dezember/
versprochene Lebensmittelprogramm" (Schrägstriche werden zur
Kennzeichnung von Einbettungen gebraucht).

Auf diesem Zusammenspiel der Nominalendungen beruht ihre
syntaktische Funktion in dieser Arbeit.

1.3 - Doppelte Funktion der Nominalendungen

1.3.1- Starke und schwache Endungen

Die starken Endungen sind identisch mit den Nominalmor-
phemen, sie kennzeichnen Kasus, Numerus und Genus der Substantive
einer Nominalgruppe.

Am folgenden Beispiel sind die starken Endungen mit der
Absicht unterstrichen, sowohl die Einbettung der entsprechenden
Nominalgruppe in den Satz zu veranschaulichen, wie auch die Ein-
bettung einer Nominalgruppe in eine andere. Dabei gelten die Ar-
tikelformen selbst als starke Nominalendungen, da sie nicht mehr
segmentierbar sind.

2. "Es ist schwierig,/für die/hinter der verwendung/dieser
wörter/stehende haltung/einen ausdruck zu finden."[3]

Im Gegensatz zu den starken Endungen kennzeichnen die
schwachen Endungen die Kongruenzbeziehungen zwischen den Ele-
menten einer Nominalgruppe, sie verdeutlichen grammatikalische
Kategorien wie z.B. Singular/Plural, und sorgen dadurch für
syntaktische Zusammengehörigkeit. An demselben Beispielsatz
möchte ich das veranschaulichen: (unterstrichen ist eine schwa-
che Endung)

2. "Es ist schwierig,/für die/hinter der verwendung/dieser

   wörter/stehende haltung/einen ausdruck zu finden."

Durch das Zusammenspiel der Nominalendungen in der No-
minalgruppe /die... stehende haltung/ wird die syntaktische
Zusammengehörigkeit dieser Nominalgruppe trotz zwei Nominalein-
bettungen gesichert.

So lassen sich starke von schwachen Endungen nach ihrer
syntaktischen Funktion unterscheiden: die starken Endungen bet-
ten die Nominalgruppen in den Satz ein und die schwachen sorgen
für syntaktische Zusammengehörigkeit durch Verdeutlichung von
grammatikalischen Kategorien. Diese Unterscheidung von starken
und schwachen Endungen nach ihrer syntaktischen Funktion trägt
zur Erläuterung der Kongruenzbeziehungen der Elementen der Nomi-
nalgruppe im Deutschen bei.

1.3.2 - Adjektivendungen

Adjektive (und aus Adjektiven abgeleitete Substantive)
bilden die einzige Wortklasse im Deutschen, die sowohl starke
als auch schwache Endungen bekommen. Aus diesem Grund möchte ich
die Kongruenzbeziehungen der Nominalendungen in einer Nominalgrup-
pe anhand der Adjektivendungen zeigen, da diese Kongruenzbeziehun-
gen auf der doppelten syntaktischen Funktion von starken und schwa-
chen Endungen beruhen.

3. "Eine/linguistischen Verfahren/näherstehende Methode als

   die unter a) und b) dargestellten bildet die kontextuelle

   Bedeutungsbestimmung."

Wie in der Nominalgruppe/linguistischen Verfahren/zu
sehen ist, haben Adjektive starke Endungen, wenn in der entspre-
chenden Nominalgruppe kein Artikel (oder Frage-, Possessiv-, De-

monstrativpronomen) gebraucht wird, sie werden dadurch selbst
zu Kasusträger und kennzeichnen die syntaktische Funktion der
entsprechenden Nominalgruppe.

An demselben Beispielsatz lässt sich zeigen, dass Adjektive
die schwachen Endungen bekommen, wenn in der entsprechenden Nomi-
nalgruppe die starken Endungen bei einem anderen Wort vorkommen:
An der Nominalgruppe/"Eine ... näherstehende_ Methode / kann
gezeigt werden, dass das Adjektiv die schwache Endung -e bekommt,
weil der unbestimmte Artikel ein in seiner Femininform die star-
ke Endung -e hat; an der Nominalgruppe / als die unter a) und b)
dargestellten / bekommt das Adjektiv die schwache Endung -en,
weil der bestimmte Artikel in seiner Pluralform die gebraucht wird.

Das Distributionsprinzip der Nominalendungen in einer Nomi-
nalgruppe scheint darin zu bestehen, dass Nominalmorpheme in dersel-
ben Nominalgruppe im Deutschen nicht wiederholt werden, und dass
die ganze Nominalgruppe "dekliniert" wird und nicht jedes Element
isoliert.[4] Dieses Prinzip zeigt wiederum, dass die Kongruenzbezie-
hungen innerhalb einer Nominalgruppe im Deutschen keinen Abbild-
charakter haben, dass Morpheme in derselben Nominalgruppe nicht
wiederholt werden, im Gegensatz zu den meisten romanischen Spra-
chen.

An den folgenden Beispielen kann jedoch eine Wiederholung
von Nominalendungen in derselben Nominalgruppe gezeigt werden:

    4. "Zur selbstbeschreibung verwendete wertende adjektive haben
       natürlich appellcharakter..."

    5. "Das halb als appell gekennzeichnete, dann wieder schüchtern
       als frage zurückgenommene DU!?"

Diese Wiederholung derselben Endung bei mehreren Adjektiven
in einer Nominalgruppe hat die Funktion, die syntaktische Beziehun-

gen der Elemente einer Nominalgruppe deutlicher zu zeigen.[5]
Denn die Wiederholung der starken Endungen -e im Beispiel 4 sichert
syntaktisch, dass verwendet und wertend jeweils in syntaktischer
und semantischer Beziehung zum Substantiv Interesse stehen.
Am Beispiel 5 zeigt die Wiederholung der schwachen Endung -e
Kongruenzbeziehungen zwischen Artikel, Attributen und Substantiv.

So lässt sich das Distributionsprinzip der Nominalendungen
im Deutschen umfassender formulieren: innerhalb einer Nominalgruppe
im Deutsche werden Nominalmorpheme nicht wiederholt, es sei denn
mit der Funktion, grammatikalische Kategorien oder syntaktische
Beziehungen zu vereindeutigen.

2. SEMANTISCHE KOMPLEXITÄT DER NOMINALENDUNGEN

An allen vorgebrachten Beispielen fällt die Tatsache auf,
dass dieselben Nominalendungen mit verschiedenen Funktionen
gebraucht werden:

1. "Seinen eigenen Bürgern hat der Kreml das im Dezember ver-
   sprochene Lebensmittelprogramm bisher nicht einzulösen
   vermocht."

2. "Es ist schwierig, für die hinter der verwendung dieser
   wörter stehende haltung einen ausdruck zu finden."

Im Beispiel 1 kennzeichnet der eine Mask.-Nom.-Form, im
Beispiel 2 kennzeichnet der einmal eine. Fem.-Dat.-Form und einmal
eine Gen.-Pl.-Form.
Diese Möglichkeit, mit derselben Nominalendung verschiedene gram-
matikalische Kategorien zu kennzeichnen, betrachte ich als eine
semantische Komplexität der Nominalendungen im Deutschen.[6]

2.1 - Semantische Komplexität der starken Endungen

Im heutigen Deutschen genügen fünf Nominalmorpheme, um
innerhalb einer Nominalgruppe Kasus, Genus und Numerus deutlich
zu kennzeichnen. Diese starken Endungen, diesem, diesen, dieses,
diese und dieser werden hier nach ihrer semantischen Komplexität
analysiert. Die Reihenfolge entspricht einer Graduierung dieser
semantischen Komplexität, von weniger komplexen zu komplexeren
Endungen.

-(e)m (diesem, vom, dem, deinem, ihm, wem, welchem, usw)
Diese starke Endung bezeichnet eindeutig Singular-Dativ. Sie
bezieht sich aber auf zwei Geschlechter, Maskulinum und Neutrum:

$$-(e)m = \text{Singular-Dativ} \begin{bmatrix} \text{Mask} \\ \text{Neutr.} \end{bmatrix}$$

-(e)n (diesen, den, deinen, wen, ihn, welchen, usw)
Diese starke Endung kennzeichnet zwei grammatikalische Kategorien,
Singular und Plural und zwei Fälle, Akkusativ und Dativ. Das Zusam-
menwirken der Nominalendungen in derselben Nominalgruppe sorgt dann
dafür, die verschiedenen Funktionen von -(e)n zu unterscheiden:
handelt es sich um Plural-Dativ, bekommt das Substantiv ein -n.

$$-(e)n = \begin{cases} \text{Plural-Dativ (+ -n im Substantiv} \\ \\ \text{Maskulin-Akkusativ} \end{cases}$$

-(e)s (dieses, das, des, wessen, ins, aufs, usw)
Diese starke Endung kennzeichnet nur die Kategorie des Singulars.
Diese Endung kann aber für zwei Geschlechter und zwei Fälle ein
Kennzeichen sein. Bekommt das Substantiv in der Nominalgruppe auch
die Endung -(e)s, dann ist es Genitiv-Singular (Mask. und Ntr.);
bekommt aber das Substantiv keine Endung, so kennzeichnet -(e)s
Neutrum-Nominativ und Akkusativ. Das Zusammenspiel der Nominalen-

dungen sorgt für die Verdeutlichung grammatikalischer Kategorien.

$$-\underline{(e)s} = \begin{cases} \text{Neutrum} \begin{bmatrix} \text{Nom.} \\ \text{Akk.} \end{bmatrix} \\ \\ \text{Genitiv} \begin{bmatrix} \text{Mask.} \\ \text{Neutrum} \end{bmatrix} + -(e)s \text{ im Substantiv} \end{cases}$$

-e (diese, die, sie, eine, deine, welche, usw)
Diese starke Endung kennzeichnet Femininum und Plural, Nominativ
und Akkusativ.

Aus Ökonomiegründen sind im heutigen Deutschen beim Artikel
(im Sinne von Heringer) die Nominalendungen für Feminina und für
den Plural der drei Geschlechter identisch. Das Zusammenspiel der
Nominalendungen geht dabei eine Stufe tiefer, indem das Pluralsys-
tem der Substantive herangezogen wird: alle Feminina zeigen aus
dem Grund im Plural eine lautliche Veränderung beim Substantiv, was
bei Neutra und Maskulina nicht der Fall ist. So ist es möglich,
dass die oder -e bei Maskulina und Neutra als Pluralzeichen fungie-
ren: mehrere (die) Zimmer, alle (die) Lehrer. Handelt es sich aber
um ein Femininum, so muss auch das Substantiv selbst ein Pluralzei-
chen tragen, sonst wären Singular von Plural in derselben Nominal-
gruppe nicht mehr zu unterscheiden: grüne (die) Tafeln, einige (die)
Leitern, viele (die) Mütter.

$$-\underline{e}\text{ (die)} \begin{cases} \text{Femininum} \begin{bmatrix} \text{Nom.} \\ \text{Akk.} \end{bmatrix} \\ \\ \text{Plural} \begin{bmatrix} \text{Nom.} \\ \text{Akk.} \end{bmatrix} \end{cases}$$

-(e)r (dieser, der, wer, seiner, ihr, er, welcher, usw)
Die semantische Komplexität dieser Endung besteht darin, dass sie

innerhalb einer Nominalgruppe Mask.-Nom., Dat.-Fem., Gen.-Fem. und
Gen.-Plural kennzeichnet.

An folgeden Beispielen lässt sich diese semantische Komplexität der
Nominalendungen -er gut zeigen:

> 6. "Dies hat den nachteil, dass dadurch der anteil der auf
> den partnersuchenden bezugnehmenden anfänge, die..."

> 7. "(...), da sie sich wohl der symptomfunktion ihrer sprache
> auf dieser seite..."

Die semantische Komplexität der Nominalendungen besteht
also darin, dass lautlich identische Endungen sich auf verschie-
dene Funktionen beziehen.

2.2 - Semantische Komplexität der Kombinierung von starken und schwachen Endungen

Die schwachen Endungen unterscheiden sich von den starken
hauptsächlich nach ihrer syntaktischen Funktion: die schwachen En-
dungen werden von den starken bedingt, sie sind immer "Begleiter"
der starken Endungen in einer Nominalgruppe, mit der Funktion,
grammatikalische Kategorien zu verdeutlichen. Die schwache En-
dung -e dient in erster Linie der LVereindeutigung Sing./Plural.
Sonst wird in allen anderen Fällen die schwache Endung -en
gebraucht:

> 5. "Das halb als appell gekennzeichnete, dann wieder schüch-
> tern als frage zurückgenommene "DU!?"

> 8. "Die verschiedenartigen selbstbezeichnungen und die ver-
> schiedenartige verwendung von attributen..."

> 9. "(...), dass man von sich und vom angesprochenen
> spricht..."

Es kann vielleicht helfen, sich diese semantische Komple-
xität der Nominalendungen als Formel zu veranschaulichen:

- (e)m = (en) Sing.-Dativ $\begin{bmatrix} \text{Mask.} \\ \text{Ntr.} \end{bmatrix}$

- (e)n = (-en) $\begin{cases} \text{Sing.-Mask.-Akk.} \\ \text{Pl.-Dativ +-n im Subst.} \end{cases}$

- (e) s = $\begin{cases} (-e) \quad \text{Sing.-Ntr.} \begin{bmatrix} \text{Nom.} \\ \text{Akk.} \end{bmatrix} \\ (-en) \quad \text{Sing.-Gen.} \begin{cases} \text{Mask.} \\ \text{Ntr.} \end{cases} + -(e)s \text{ im Subst.} \end{cases}$

- e = $\begin{cases} (-e) \quad \text{Sing.-Fem.} \begin{bmatrix} \text{Nom.} \\ \text{Akk.} \end{bmatrix} \\ (-en) \quad \text{Plural} \begin{cases} \text{Nom.} \\ \text{Akk.} \end{cases} \end{cases}$

-(e)r = $\begin{cases} (-e) \quad \text{Sing.Mask.} \quad \text{Nom.} \\ (-en) \begin{bmatrix} \text{Sing.Fem.} \begin{cases} \text{Dat.} \\ \text{Gen.} \end{cases} \\ \text{Plural-Gen.} \end{bmatrix} \end{cases}$

An diesen Formeln kann man deutlich sehen, dass die seman-
tische Komplexität der Nominalendungen im Deutschen hauptsächlich
in einer lautlichen Identität dieser Endungen besteht, die dann
erst innerhalb einer Nominalgruppe nach ihrer syntaktischen Funk-
tion zu unterscheiden ist. Bei der Kombinierung von starken und
schwachen Endungen geht es in erster Linie darum, identische Lau-
te innerhalb derselben Nominalgruppe nur mit Vereindeutigungs-
-funktion zu wiederholen.

2.3 - Die Kongruenzbeziehungen in einer Nominalgruppe im Deutschen:

Ein Ökonomieprinzip

Aus Ökonomiegründen sind die Kasusendungen im Deutschen reduziert worden, aber nicht die Kategorien Kasus, Numerus und Genus. Die Folge davon ist, dass die deutsche Sprachgemeinschaft mit weniger Kasusendungen sich auf diese unreduziert verbliebenen Kategorien deutlich beziehen muss. Im heutigen Deutschen herrscht dann eine Art Kombination, die darin besteht, einerseits dieselbe starke Endung für verschiedene Kategorien zu gebrauchen und andererseits diese starke Endung in derselben Nominalgruppe nicht zu wiederholen, um ihre syntaktische Funktion jeweils zu vereindeutigen. Kommt ein attributiv gebrauchtes Adjektiv in eine Nominalgruppe hinein, muss es sich auch diesem Prinzip der Nicht-Wiederholung anpassen: Adjektive werden deswegen entweder Kasusträger oder sie bekommen schwache Endungen.

Dieses Prinzip einer Nicht-Wiederholung von Nominalendungen in derselben Nominalgruppe funktioniert so präzis, dass eine Wiederholung von starken oder schwachen Endungen in derselben Nominalgruppe auch eine Funktion hat, nämlich eine Funktion der Verdeutlichung: entweder syntaktische Zusammengehörigkeit zwischen Nomen und Attribut zu zeigen (Wiederholung starker Endungen) oder Kongruenzbeziehungen zwischen Artikel (im Sinne von Heringer), Attribut und Nomen (Wiederholung schwacher Endungen).

Ich bringe die Beispielsätze 4. und 5. zur Veranschaulichung dieses Ökonomieprinzips noch einmal vor:

> 4. "Zur selbstbeschreibung verwendete wertende adjektive
> haben natürlich appellcharakter..."

An diesem Beispiel kennzeichnet die Wiederholung der starken Endung -e syntaktische Zusammengehörigkeit.

5. "Das halb als appell gekennzeichnete, dann wieder schüch-
   tern als frage zurückgenommene "DU!?""

Die Wiederholung der schwachen Endung -e zeigt am Beispiel
5 die Kongruenzbeziehungen im Deutschen zwischen Artikel, Attribut
und Nomen.

Dieses Ökonomieprinzip wirkt auch in anderer Bereichen der
deutschen Sprache. Im Bereich des Verbs macht sich dieses Prinzip
bei der Verbgruppe Perfekt Passiv bemerkbar: Das ge- von "geworden"
wird innerhalb derselben Verbgrouppe nicht wiederholt, da es sich
in diesem Fall um keine Wiederholung mit einer Vereindeutingungs-
funktion handelt.

Auch an der Perfektbildung mancher Verben kann das beobachtet
werden: Bei trennbaren Vorsilben (Verbzusatz) behält die Verbgruppe
das für Partizip Perfekt charakteristische ge-:
hat... geholt, hat... abgeholt, hat... gesprochen,.hat... ab-
gesprochen Handelt es sich aber um untrennbare Vorsilben oder
Präfixe, wird dieses Perfektzeichen in derselben Verbgruppe
nicht mehr gebraucht: hat... überholt, hat... wiederholt, hat
... versprochen, hat... widersprochen.
Dabei geht es um komplexe, sich syntaktisch wiederspiegelnde
phonologisch-semantisch Beziehungen, denn bei manchen Verben
liegt sogar der Bedeutungsunterschied primär in der Betonung
oder nicht Betonung der Vorsilbe beim Infinitiv. Dieser Bedeutungs-
unterschied wird dann beim Perfekt durch den Gebrauch oder nicht
Gebrauch von ge- syntaktisch wiedergegeben, indem das ge- bei
Präfixen oder untrennbaren Vorsilben in derselben Verbgruppe nicht
gebraucht wird, da es in solchen Fällen keine Vereindeutiguns-
funktion hat.

3. DIE "SYNTAKTISCHE ANALYSE" VON WERNER HOLLY

3.1 - Nominaltranslative[7]

In dieser syntaktischen Analyse werden <u>Nominaltranslative</u>
und <u>Attribute</u> in derselben Nominalgruppe behandelt, was das
Zusammenspiel der Nominalendungen in einer Nominalgruppe deutlicher
zeigt. Dies ermöglicht wiederum eine bessere Darstellung des Ökonomie-
prinzips der Wiederholung von Kasusendungen innerhalb einer Nominal-
gruppe nur mit Vereindeutigungsfunktion. Diese "Syntaktische Analy-
se" lässt ganz klar zeigen, dass die Nominalendungen auf Grund des
Zusammenspiels ihrer Elemente in den Satz eingebettet werden, und
deswegen habe ich diese Analyse zum Vorbild genommen, um das Zusam-
menwirken dieser Elemente als Ergebnis einer auf Ökonomieprinzipien
beruhenden Redundanzregel zu zeigen. Am folgenden Beispielsatz
lässt sich das in der Nominalgruppe 2 besonders deutlich zeigen:

   3. "Eine linguistischen Verfahren näherstehende Methode als
      die unter a) und b) dargestellten bildet die kontextuelle
      Bedeutungsbestimmung."

```
   N            NT          Art         Attr
   ┊            ┊            │           ┊
 Subst.         Fl           ø          Adj
   │            │                        │
Verfahren      -en                  linguistisch
```

```
                        NG6
            ┌──────┬─────────┬──────────┐
            N      NT        Art        Attr
            ┊      ┊          ┊          ┊
          Subst.  als        die       AdjG
          (...)                       ╱    ╲
                                    Adj     NG
                                     │     ╱  ╲
                                dargestellt N   NT
                                          ╱ ╲   │
                                         ╱   ╲ Präp
                                     Kood      │
                                           unter
                                    ╱a) und b)╲
```
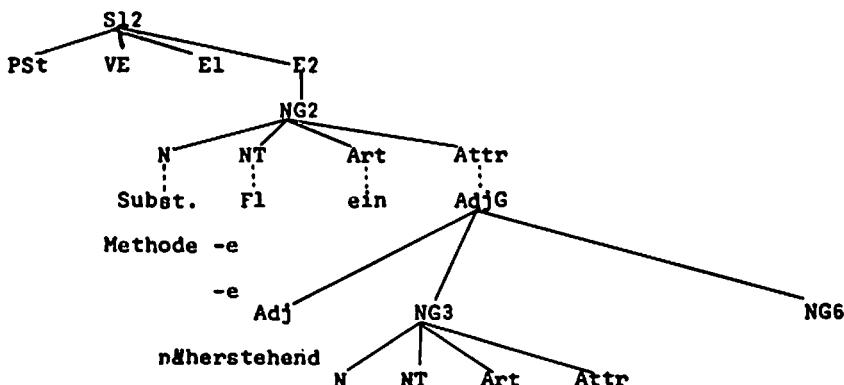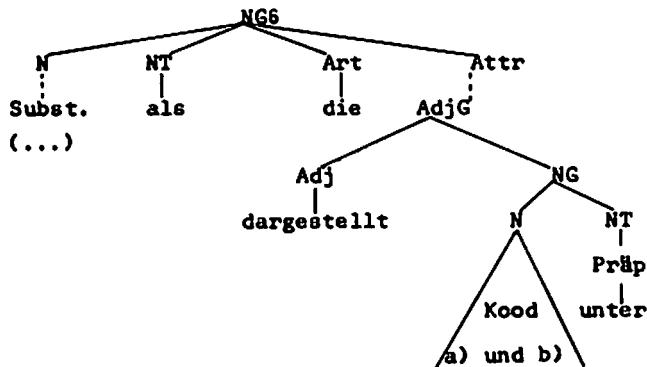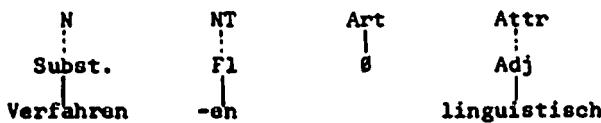
i. Die schwache Endung -e von "Eine... näherstehende Methode"
    zeigt ausdrucksseitig, dass "näherstehend" mit "Eine...Methode"
    eine syntaktische Einheit bildet, indem sie die grammatikalische
    Kategorie des Singulars-Feminin verdeutlicht.

ii. Die starke Endung -en in "linguistischen Verfahren" sorgt für die
    Einbettung der Nominalgruppe als NG3 in den Satz.

iii. Die schwache Endung -en in der NG6 verdeutlicht die Kategorie des
     Plurals zusammen mit der Artikelform die und ermöglicht dadurch
     die Referenzidentität zwischen "die...dargestellten" und
     "Verfahren" in der NG3.
         Diese syntaktische Analyse unterstützt die hier dargestel-
     lte Auffassung der semantischen Komplexität der Nominalendungen im
     Deutschen: in der NG6 lässt sich gut zeigen, dass die nicht allein
     die Kategorie Sing./Plural verdeutlicht, sondern das Zusammenspiel

von <u>die</u> + <u>-en</u>. Durch die Aufführung der Elemente einer Nominalgruppe
(Nomen, Nominaltranslative, Artikel und Attribut) lässt sich auch
dieses Ökonomieprinzip zeigen, Morpheme innerhalb einer Nominalgruppe
nur mit Vereindeutigungsfunktion zu wiederholen.

3.2 - Artikel und Attribute

In der "Syntaktischen Analyse" von Werner Holly sind Arti-
kel und Attribute Teile einer Nominalgruppe und unterscheiden sich
durch die Tatsache, dass der Artikel immer obligatorisch ist.

In verschiedenen Grammatiken ist aber die Grenze zwischen
Artikel und Attribut sehr umstritten: nach der Duden Grammatik ist
der Artikel auch ein Attribut, nach Heringer kann ein Adjektiv in
attributiver Funktion auch als Artikel fungieren.[8]
Mit den Artikeldefinitionen sind Begriffe wie "<u>Bestimmtheit</u>," "<u>Un-
bestimmtheit</u>," "<u>Generalisierung</u>," "<u>Individualisierung</u>," "<u>Ganzheit</u>,"
"<u>Menge</u>," fast immer verbunden. Da die Nullform des Artikels eine
Bedeutung hat, möchte ich zuerst seine Funktion in einer Nominal-
gruppe umgrenzen, und zwar durch die Gruppenmöglichkeiten: Ø Artikel
+ Substantiv, Adjektiv + Substantiv, Artikel + Substantiv und
Artikel + Attribut + Substantiv, Ø Artikel + Substantiv.
Durch die Nullartikelform kann sowohl Individualisierung als auch
Generalisierung ausgedrückt werden (Duden Grammatik, 1973, S. 166).
Die Nullform des Artikels kann entweder generalisieren (kann durch
<u>alle</u> ersetzt werden) oder einschränken (kann durch <u>einige</u>, <u>manche</u>
ersetzt werden). Am folgenden Beispielsatz wird eine Generalisierung
angestrebt:

10. "(290) Warum suchen <u>Männer</u> meines Alters nur wesentlich
    jüngere Frauen, obwohl..."

In der Nominalgruppe/Männer meines Alters/drückt die
Nullartikelform eine Generalisierung aus, die wiederum durch das
Genitivattribut meines Alters eingeschränkt wird.

Die Nullform des Artikels kommt in einer Nominalgruppe im
Deutschen häufiger bei Substantiven im Plural vor, weil der unbestimm-
mte Artikel im Deutschen keine Pluralform hat. So ist es nicht
möglich, im Plural eine "Unbestimmtheit" in der Nominalgruppe durch
den unbestimmten Artikel auszudrücken, was entweder durch die Null-
artikelform oder durch welche, manche, einige, wenige ersetzt wird.
Adjektive + Substantive

Die Nominalgruppe "nur wesentlich jüngere Frauen" aus
Beispielsatz 10 zeigt, dass der Sprecher manchmal einen Teil einer
bestimmten Ganzheit meint, die sich nicht durch "einige" oder andere
Quantoren ausdrücken lässt, sondern durch eine bestimmte Eigenschaft.
Weil diese meistens durch Adjektive ausgedrückte Eigenschaft in sol-
chen Fällen den gemeinten Teil genause einschränkt wie ein "Artikel,"
halte ich ihre satzsemantische Funktion für die eines "Artikels."[9]

An anderen Beispielen lässt sich diese "Artikel-Funktion"
attributiver Adjektive zeigen, immer wenn in der entsprechenden No-
minalgruppe kein "Artikel" gebraucht wird:

    11. "Und/bei erotischen beziehungen/spielt sinnlichkeit auf
       allen ebenen eine rolle.

    12. "Es hat sich - (...) - gezeigt,dass/syntaktische Aspekte/
       pragmatisch relevant sein können."

"Jüngere," "erotischen" und "syntaktische" sind in den
entsprechenden Nominalgruppen nicht frei im Sinne eines Attributs,
sie sind eher obligatorisch wie im Sinne eines Artikels. Mit der
Nominalgruppe Adjektiv + Substantiv wird das entsprechende Kern-
substantiv aus einer Menge herausgenommen und durch eine bestimmte

Eigenschaft eingeschränkt. Dass Adjective in solchen Fällen die Ka-
susendungen tragen, spricht syntaktisch dafür, dass sie die seman-
tische Artikelfunktion übernehmen.

Artikel + Substantiv

Diese Nominalgruppe ermöglicht die Kontextualisierung eines
Substantivs, wie ich am Beispielsatz 13 zeigen möchte:

> 13. "(...), da sie (= die geisteswissenschaftler) sich wohl
> der symptomfunktion ihrer sprache auf dieser seite
> bewusster sind als die naturwissenschaftler."

Die zwei unterstrichenen Nominalgruppen sind hier auf den
Kontext "Heiratsanzeigen" eingeschcänkt.

Die Nominalgruppe Artikel + Substantiv ist nach ihrer
Funktion im Kontext am schwersten abzugrenzen, denn die Kontextua-
lisierung des Kernsubstantivs einer Nominalgruppe liegt sehr oft
am Zusammenwirken von Artikel und Attribut (oder Ergänzungen), wie
an der Nominalgruppe "der symptomfunktion ihrer sprache" des Bei-
spiels 13 zu sehen ist, oder am Beispielsatz 14:

> 14. "Ein weiterer grund für die übbernahme von ritualformen
> ist, dass sie die peinlichkeit einer situation
> reduzieren:..."

Artikel + Attribut + Substantiv

Nach ihrer Kontextualisierungsfunktion ist diese Nominal-
gruppe am präzisesten, denn der Artikel kontextualisiert den Kern-
substantiv und durch ein Attribut kommt dem Kernsubstantiv dieser
Nominalgruppe noch eine Charakterisierung hinzu.[10]
Diese Nominalgruppe hat in der Schriftsprache auch die Funktion,
zu viele Einbettungen von Relativsätzen zu vermeiden:

> 15. "Von "gebrauchsregeln" zu sprechen ist ein normativer
> bedeutungsbegriff, der allenfalls auf wissenschaftlichen

> oder amtlichen sprachgebrauch anwendbar ist, aber nicht
> auf den lebendigen sprachgebrauch: hier wäre es besser,
> von gebrauchsmöglichkeiten sprachlicher ausdrucksweisen
> zu sprechen. Durch vom normalen gebrauch abweichenden
> gebrauch sprachlicher ausdrücke kann man bedeutungen
> nuancieren und komplexer gestalten."

"(...) ein normativer bedeutungsbegriff:" in dieser Nominalgruppe
liegt die dem "Artikel" zugegebene Determinationsfunktion sogar in
"normativ" und nicht in "ein;" in der gesprochenen Sprache wird dies
durch die Intonation ausgedrückt.

"(...) vom normalen gebrauch (...)": diese Nominalgruppe kontextua-
lisiert nicht nur die Bedeutung von "gebrauch," sondern zeigt auch
den Kontext, in dem sich "Artikel" und "Attribut" ergänzen, denn in
dieser Nominalgruppe hat das Adjektiv normal die Funktion, die Bedeu-
tung des kontextualisierten Kernsubstantivs (Gebrauch) genauer zu
präzisieren.

In der Nominalgruppe "Durch (...) abweichenden gebrauch" wurde das
Kernsubstantiv durch ein Adjektiv kontextualisiert. Es war im gan-
zen Text bis zu diesem Satz die Rede vom "geregelten," also vom
"normalen" Sprachgebrauch, deswegen konnte hier der normale Gebrauch
durch den bestimmten Artikel kontextualisiert werden. Diesem kon-
textualisierten "normalen gebrauch" wird dann ein anderer "gebrauch"
gegenübergestellt, der aber durch keinen bestimmten Artikel
kontextualisiert werden kann, weil dieser andere "gebrauch" erst in
den Kontext eingeführt wird. Die Kontextualisierung dieses neu
eingeführten "gebrauch" geschieht deswegen durch die Eigenschaft
abweichend.

Aus diesem Grunde halte ich die Funktion von Adjektiven in solchen
Fällen für eine Artikelfunktion, denn sie ermöglichen dieselbe Kon-

textualisierung, die in einer traditionellen Grammatik dem unbestim-
mten Artikel zugegeben wird.[11] Ausdrucksseitig spricht für diese
Auffassung die Tatsache, dass Adjektive in der <u>Artikelfunktion</u> im-
mer Kasusendungen haben,im Gegensatz zu Adjektiven in der <u>Attribut-
funktion</u>.

Nach dieser Analyse der verschiedenen Nominalgruppe lässt
sich feststellen, dass Adjektive entweder die semantische Funktion
eines "Artikels" oder die eines "Attributs" haben. Syntaktisch wird
das durch schwache oder starke Endungen ausgedrückt: hat das Adjek-
tiv die Artikelfunktion, bekommt es starke Endungen, wenn kein
"Artikel" in der entsprechenden Nominalgruppe vorhanden ist; hat
das Adjektiv die Attributfunktion, bekommt es schwache Endungen,
weil in der entsprechenden Nominalgruppe ein "Artikel" schon
vorhanden ist.

Dies möchte ich veranschaulichen, indem ich ein Beispiel
nach der "Syntaktischen Analyse" von Werner Holly zeichne, und
zwar einmal ohne den Adjektiven die Artikelfunktion zu verleihen
und einmal, wo den Adjektiven die Artikelfunktion verliehen wird.

15. "(...) Durch vom normalen gebrauch abweichenden gebrauch
sprachlicher ausdrücke kann man bedeutungen nuancieren
und komplexer gestalten."

```
                    S12
        ┌──────┬────┬────┬──────────┐
       PSt    VE   E1   E2          E
        △      ∅    △    △          NG5
                    ┌──────┬──────┬──────────────┬──────────────┐
                    N      NT    Art.          Attr.          Attr.
                    ⋮      ⋮      │              ⋮              │
                   Sub.   Präp.   ∅            AdjG            NG4
                                                        ┌────┬────┬──────┐
                gebrauch  durch                         N    NT  Art.  Attr.
                                    ┌──────────────┐    ⋮    ⋮    │      ⋮
                                   Adj.           NG5  Sub.  Fl.  ∅    Adj.
                                    ⋮
                                abweichend    Ausdrücke -er      sprachlich
                          ┌──────┬──────┬──────┐
                          N      NT    Art.  Attr.
                          ⋮      ⋮      │      ⋮
                         Sub.   Präp. (de)m  Adj.
                         
                       Gebrauch  von         normal
```
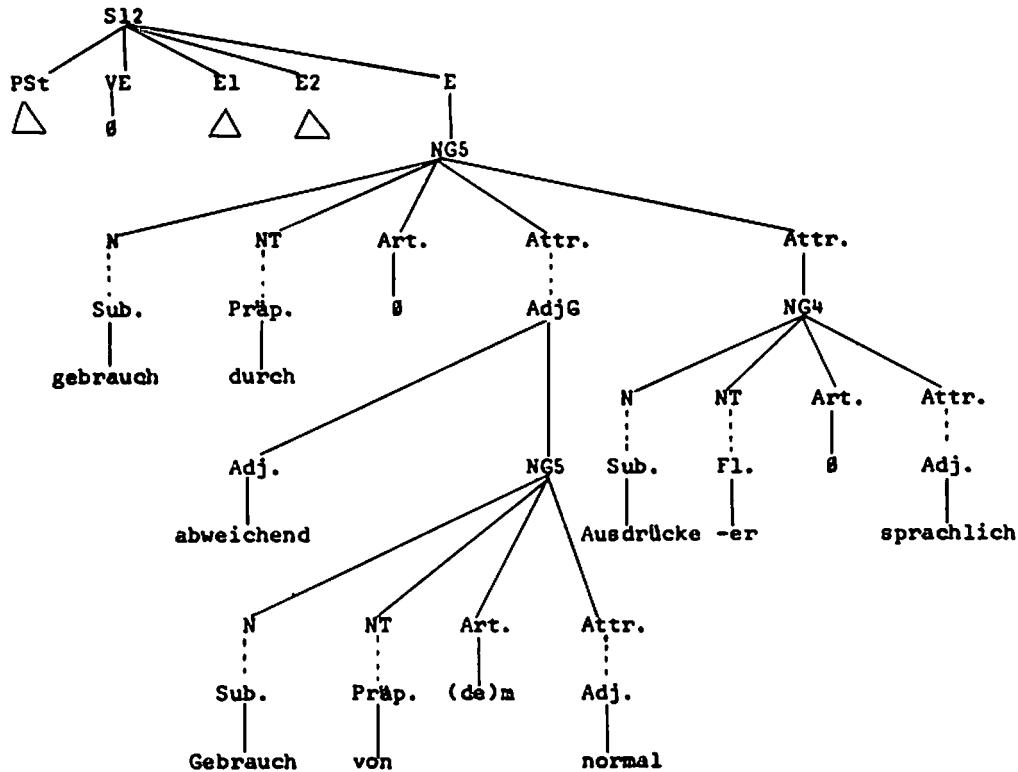
i. Wenn bei Gebrauch der Präpositionen die Flexive nicht mehr als
   Nominaltranslative aufgeführt werden, gehen syntaktisch-semantische
   Beziehungen verloren, wie z.B. die Kasusendung -en beim Adjektiv
   abweichend.

ii. Adjektive immer als Attribut aufzuführen hat satzsemantische
    Nachteile: einerseits kommt es zu Attributansammlungen, anderer-
    seits werden semantische Beziehungen wie die der NG5 und die der
    NG4 im Satz nicht unterschieden, da beide Nominalgruppen als
    Attribute aufgeführt werden.

Wenn angenommen wird, dass auch Adjektive die Artikelfunktion übernehmen können, zeigen sich Vorteile:

```
                    S12
          ┌────┬────┼────┬──────────────┐
         PSt   VE   E1   E2             E
          △    │    △    △              │
               Ø                       NG5
                         ┌──────┬───────┼──────────────────┐
                         N      NT     Art.              Attr.
                         ┊   ┌───┴──┐    ┊                 │
                        Sub. Präp. Fl.  AdjG              NG4
                      gebrauch durch -en  │         ┌──────┼──────┐
                                       ┌──┴───┐      N     NT    Art.
                                      Adj.   NG5     ┊     │      ┊
                                   abweichend │     Sub.  Fl.   Adj.
                              ┌────┬────┬─────┤   Ausdrücke -er sprachlich
                              N    NT  Art. Attr.
                              ┊  ┌─┴──┐  ┊   ┊
                             Sub. Präp. Fl (de)m Adj.
                           Gebrauch von  -en   normal
```
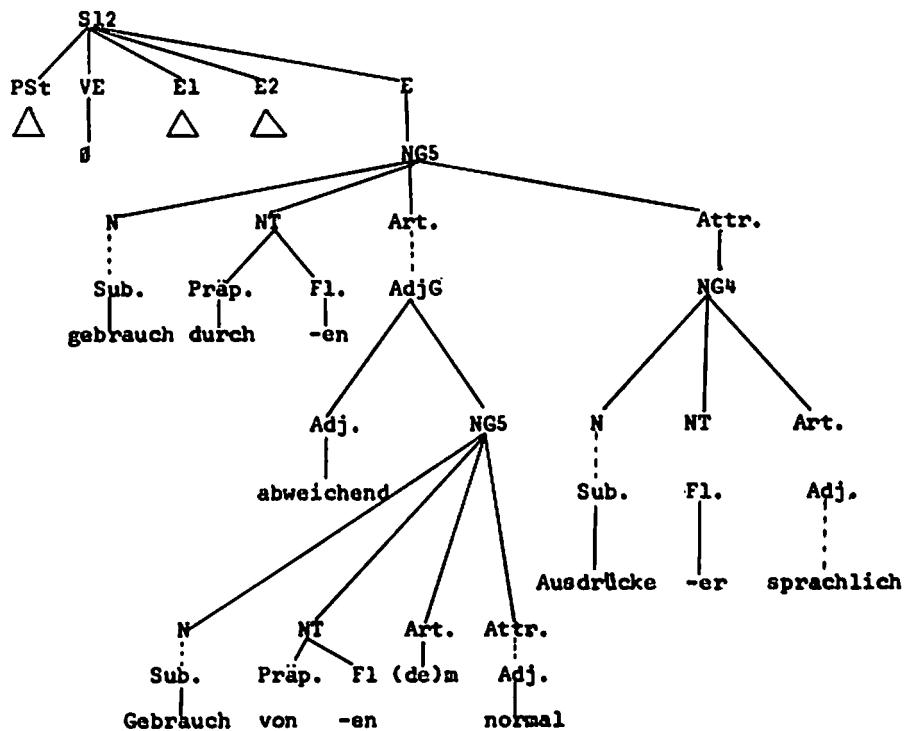
i. Satzsemantische Aspekte können genauer dargestellt werden, wie
   der Unterschied zwischen NG4 und NG5: da der Artikel in einer
   Nominalgruppe obligatorisch ist, wird durch die Artikelfunktion
   vom Adjektiv abweichend klar, dass die eingebettete NG5 nicht
   frei im Sinne von der Attributfunktion ist, wie NG4.

ii. Die syntaktische Funktion der Kasus - und der schwachen Endungen
    kann deutlicher gezeigt werden, weil die Kasusendungen bei Adjek-

tiven in der Artikelfunktion gebraucht werden.

iii. Das nominale Kongruenzprinzip kann auch klarer dargestellt wer-
den: wenn ein Adjektiv mit der Artikelfunktion gebraucht wird,
dann bettet es selbst durch die Kasusendungen die Nominalgruppe
in den Satz ein; wenn aber Adjektive als Attribut in einer mit
"Artikel" belegten Nominalgruppe gebraucht werden, dann haben
sie die schwachen Endungen und die semantische Vereindeu-
tingungsfunktion von Kategorien.

Weil "Artikel" und "Attribut" als Teile einer Nominalgruppe
aufgeführt werden, lässt diese "Syntaktische Analyse" auch deutlich
zeigen, dass das nominale Kongruenzprinzip im Deutschen auf dieser
Nicht-Wiederholung von Morphemen beruht, da das Zusamenspiel der
Nominalendungen dadurch hervorgehoben werden kann.
Dieses Prinzip der Nicht-Wiederholung von Morphemen in derselben
Nominalgruppe zeichnet die deutsche Sprache im Bereich der Nominal-
kongruenz aus, weil dieses Prinzip in vielen anderen Sprachen auf
einer Kopie von Merkmalen beruht, also auf einer Wiederholung von
Morphemen in derselben Nominalgruppe.

Diese "Syntaktische Analyse" ermöglicht auch eine deutli-
chere Unterscheidung zweischen "Artikel" und "Attribut," weil in ihr
diese Funktionen als Elemente einer Nominalgruppe vorkommen. Deswe-
gen habe ich versucht, in ihrem Rahmen zu zeigen, dass Adjektive in
bestimmten Nominalgruppen die Artikelfunktion übernehmen, nämlich
in den Nominalgruppen mit Nullartikelform + Adjektiv + Substantiv.
Da Adjektive nur in diesem Kontext syntaktisch durch die Kasus-
endungen die entsprechende Nominalgruppe einbetten, halte ich ihre
semantische Funktion im solchen Kontext für die eines "Artikels."

4. SCHLUSS

Zusammenfassend spielen die Nominalendungen innerhalb einer Nominalgruppe im Deutschen folgende Rollen:

1. Die starken Endungen sorgen syntaktisch für die Einbettung der Nominalgruppe in den Satz.

2. Die schwachen Endungen vereindeutigen grammatikalische Kategorien.

3. Starke und schwache Endungen rahmen die Nominalgruppe im Deutschen ein, zusammen mit dem Kernwort, ähnlich wie im Deutschen die Verbgruppen den Satz einrahmen (von Polenz, Peter, "História da Língua Alemã"): "Das halb als appell gekennzeichnete, dann wieder schüchtern als frage zurückgenommene "DU"!?"

4. In der geschriebenen Sprache ermöglichen starke und schwache Endungen Nominaleinbettungen, die mehr Klarheit schaffen:
   "Einer linguistischen Verfahren näherstehende Methode als die unter a) und b) dargestellten bildet die kontextuelle Bedeutungsbestimmung."

Auf die praktischen Auswirkungen solcher Aufassung des Kongruenzprinzips im Deutschen möchte ich hier nur kurz hinweisen. Im Fach "Deutsch als Fremdsprache" sind schon neuere Lehbücher erschienen, wo versucht wird, die Adjektivdeklination anders zu unterrichten als nach Deklinationstyp: "Sprachkurs Deutsch 2," von· U. Häussermann, U. Woods, H. Zenkner, 1. Auflage 1979. Mir persönlich erscheint es sehr wichtig, dass Ausländern das Zusammenspiel der Nominalendungen gezeigt wird, und nicht Deklinationstypen, weil das den Lernprosess erleichtern sollte, da die Nominalendungen an allen als "Artikel" fungierenden Wörtern vorkommen. Es könnte deswegen nicht schaden, wenn die Komplexität der Nominal-

endungen und damit das Zusammenwirken der Elemente einer Nominal-
gruppe im Deutschen im Unterricht gezeigt wird, anstatt durch De-
klinationsmuster den Deutschlernenden beizubringen, dass die oder die
Endung nach dem oder dem Wort gebraucht werden muss.

Es ergeben sich auch im Bereich des Pluralsystems Vortei-
le, denn umfassendere Regeln können dargestellt werden, wie die
Pluralform der Feminina gegenüber der Pluralform von Neutra und
Maskulina.

ANMERKUNGEN

[1] Werner Holly, "Syntaktische Analyse," 2. geringfügig veränderte Auflage, Trier, 1980, S. 22-27.

[2] "Die Zeit" - Nr. 35 - 21.August 1981.

[3] Alle Beispielsätze sind der Magisterarbeit "Textanfänge von Heiratsanzeigen" von Gertrud Schwarzenbarth entnommen.

[4] Vgl. "Grundzüge einer deutschen Grammatik," von einem Autorenkollektiv, Akademie-Verlag, Berlin, 1981, S. 603 und 615.

[5] Vg. Duden Grammatik. Duden Verlag 1973, S. 254-255 (Die Deklination mehrerer attributiver Adjektive).

[6] In der Erben Grammatik wird auf diese semantische Komplexität unter "Polymorphie" verwiesen.

[7] "Es gibt drei Arten von Nominaltranslativen (NT): sie sind entweder Flexive (FL), d.h. Flexionsendungen von Artikel, Substantiv oder Pronomen und attributivem Adjektiv, oder sie sind Präpositionen (Präp) oder sie sind Identifikationstranslative (IT" Holly, Werner, "Syntaktische Analyse", Trier, 1981, S. 25.

[8] Vgl. Duden Grammatik, Duden-Verlag 1973, S. 164-270; "Syntaktische Analyse" von Werner Holly, S. 26 und 39; Heringer, Hans-Jürgen, "Wort für Wort," 1. Aufl., Stuttgart, 1978, S. 81-83; "Grundzüge

einer deutschen Grammatik," Akademie-Verlag, Berlin, 1981; Erben,
Johannes, "Deutsche Grammatik - ein Abriss, 11. völlig neubear-
beitete Auflage, München, 1972, S. 211-240.

[9] Vgl. Heringer, H.J. "Wort für Wort," S. 81-82; auch Erben, S. 170
unter 291; auch Heinz Vater in "Das System der Artikelformen im
gegenwärtigen Deutsch," S. XV: "Universelle Aspekte der Determina-
tion behandelt Seiler 1977; Determination ist dabei - anders als
bei allen anderen hier besprochenen Arbeiten, aber im Sinne von
Trubetzkoy 1939 (wieder abgedruckt 1966) - so weit gefasst, dass
sie Numeralia und Adjektive umfasst."

[10] Vgl. Erben, Johannes, "Deutsche Grammatik - Ein Abriss,"
München, 1972, 11. Auflage; Heringer, H.J., "Wort für Wort,"
S. 83; Duden Grammatik, S. 166.

[11] Vgl. Duden Grammatik, besonders S. 166; auch Heringer, H.J.,
"Wort für Wort," S. 81 über Definition des Artikels.

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   bingen 1977, TBL Verlag Gunter Narr.

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   Ferreira da Silva e de Antônio Almeida, Fundação Calouste
   Gulbenkian, Lisboa, sétima edição, 1970.

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   sterarbeit, Trier, 1981.

Vater, Heinz, *Das System der Artikelformen im gegenwärtigen
   Deutsch*. 2. verbesserte Auflage, Tübingen 1979, Max Niemeyer
   Verlag.

THE ROLE OF THE POET IN SHELLEY'S "ODE TO THE WEST WIND"

Ana Lúcia Almeida Gazolla - UFMG

The "Ode to the West Wind" is considered to be Shelley's supreme lyric and one of the most representative texts of the period.

The motif of the poet as the seer who announces a rebirth for mankind, a recurrent notion in Romanticism, is developed in the poem, conferring structural unity on its several parts. The related view of poetry as an instrument of the Principle that acts in the whole Universe is also presented in the "Ode," through symbolic and mythical associations which will be focused on this brief analysis.

The poem presents one of the main symbols used by Shelley: the West Wind. It is described in the first stanza as a "destroyer" and also a "preserver," a death-life force, which builds up a unifying pattern in the poem — the death-resurrection motif. The apparent paradox in the action of the wind is developed through various images: the wind is the unseen presence that drives the dead leaves, representing a force of destruction, but it simultaneously scatters the seeds, preparing the rebirth of Nature. The counterpart of the West Wind is its "azure sister of the Spring," who will awaken the "dreaming earth" and make its resurrection possible. Death and life, therefore, become cause and effect of each other, and the cycle of mutability finds expression in the seasonal metaphor which governs the poem . The Wind is the personification of the Power that lies behind this

cycle; it produces a constant flux of death and rebirth, following a law of causal necessity. Nature, however, is never really dead. It is only dreaming or sleeping, and the wind of Spring awakens it, as the West Wind awakens "from his summer dreams the blue Mediterranean..."

The symbol of the West Wind, associated with the motif of the seasonal cycle and the death-rebirth pattern, refers to the mythical substratum underlying the poem. Zephyrus, the West Wind, represented, according to Classical mythology, a force of destruction, both of Nature and of man's works. However, after falling in love with Chloris or Flora, the goddess of Spring, Zephyrus turns into a life force, helping his beloved in her creation. Further symbolic associations can be traced in the tradition. According to Jung, for example, in Arabia the word "ruh" signifies "breath" and "spirit," which is one illustration of the notion of the Wind as the primary element of Nature.[1] The same view is held in the alchemical tradition, in which the Wind, in the form of the hurricane, synthesizes the four elements which constitute material existence — earth, air, water, fire. The hurricane is thus seen as a force of fecundation and regeneration. In the same way, in the Hindu tradition, the Wind is equated with "the principle of life, language and heat (or fire)."[2]

The belief in the four elements which are the Cardinal Points of material life — and, by analogy, spiritual life — has been part of the Western tradition since pre-Socratic days. All of these associations are suggested in Shelley's text, especially that between the Wind as an agent of transformation and the fire of poetry, which will be identified the poet becoming the Instrument of the Universal Spirit which governs life.

The Wind thus symbolizes this force present in the Universe which acts everywhere. It stands for this Power "that ceaselessly imparts activity to the entire universe, physical and mental, ... the immediate cause in the realm of mutability."[3] The winds, as the author expresses in the first stanza, "art moving everywhere": their action is felt on land, in the air, on the sea, characterizing their universality. As Wassermann points out, the recurrent imagery of leaves in the first three stanzas, allied to metaphors that tend to blend the three regions (associated with the elements earth, air, and water) diminishing the distinctions among them, reveals this universality and the synthetic character of the Wind. This is also emphasized by the fact that the wind "acts everywhere according to the same law, so that however its media differ, its effect remains constant:"[4] In the first stanza, there is a reference to the dead leaves which reappear in the second stanza in a simile: "loose clouds like earth's decaying leaves are shed." In the third stanza, the submarine vegetation repeats the process occurring on land: the "oozy woods" are despoiled of their "sapless foliage." The interchange of images in the three stanzas, as we have said, leads to a blending of the three areas or elements described: the buds are presented as "flocks to feed in the air"; the wind is characterized as a stream; the submarine landscape, with its "azure moss," "sweet flowers," "sea-blooms," "oozy woods," reproduces what is found on land. In the fourth stanza there is a recollection of all these images, but now referring to the poet, which indicates that a higher synthesis is aimed at:

If I were a dead leaf thou mightest bear;

If I were a swift cloud to fly with thee;
A wave to pant beneath thy power, and share

The impulse of thy strength, only less free
Than thou, o uncontrollable! ...

The poet wants to share the Wind's strength, to become its instrument, to be carried away by its power as a leaf, a cloud or a wave. In a way he wishes to become almost a passive instrument of this power against which his will must stop fighting, so that, like a child, he can regain his identity with the Universe and be in harmony with the governing laws of Nature. As Wassermann points out,

> *Shelley's standing assumptions are that*
> *the one Power is the moving spirit of all*
> *the 'energy and wisdom' within existence*
> *and governs both human thought and all the*
> *operations of nature by a uniform, impartial*
> *law of sequences; and that the human*
> *requisite for receiving that Power is a*
> *state of passivity. Since the energy*
> *flowing from the one Power acts identically*
> *in nature and mind and follows the same law*
> *of 'causal' necessity, the West Wind has*
> *an ontological kinship, and not merely a*
> *metaphoric or analogical one, with the*
> *Spirit invoked to act upon the poet's*
> *thoughts. Only the medium of the dynamic*
> *Spirit is different, and to address the*
> *spirit of Autumn's being is also to*
> *address the spirit that governs thought.*[5]

The belief in this Oneness of Power leads Shelley to
establish an analogy between the seasons and man's moral cycle.
There is no death in Nature: the dreaming stage, the death-like
appearance of the Earth during the Winter is only transitory and
Spring corresponds to an awakening, a revival of what is apparently
dead. Transferring this metaphor to mankind, the author
optimistically implies the succession of cycles of moral decay
followed necessarily by a moral rebirth, a moral revival. The poet
will be, in his reconciliation with the Power, the agent of the
moral awakening of mankind. He will be the lyre of the Wind, and
the idea of its force penetrating him also implies a further
development of the same metaphor: his poetic energy will be
regained, his poetic power will be revived. In the second verse
of the fifth stanza, Shelley expresses the fear that his poetic
power would be waning: "What if my leaves are falling like its
own!" He draws an analogy between his career as a poet, the
seasonal pattern, and the death-rebirth motif, tying all this
together in the last stanza. The sense of despair present in some
of the lines ("I fall upon the thorns of life! I bleed!") is
replaced by his belief in the power of poetry in producing
intellectual growth. He becomes confident in his capacity of
influencing the world, being a depository of the strength of the
Wind, becoming its lyre. As the Wind scatters the seeds that will
grow when Spring comes, so the poet's verses will contribute or
even cause the awakening of mankind. He becomes the prophet that
announces the change, and his thoughts "like withered leaves"
will "quicken a new birth!"

Shelley identifies his poetry and the dualistic character
of the action of the Wind: it is at the same time death and life,

"ashes and sparks," because it brings upon the end of the state
of stagnation since it causes the beginning of a new cycle.
Poetry, therefore, engenders a new birth, and the lips of the
poet echo the voice of the Wind, becoming the "trumpet of a
prophecy!" The poet will be the agent of change, and his words
are the sparks of spiritual life that drive the "unawakened earth"
(as symbol of man's mind or self) from Winter to Spring. Poetry
here is associated with Fire, the element of the fourpart
distribution which was missing in the text. The first three
correspond to the states of matter, but fire is the agent that
brings about the transformation of matter.

The symbolic association of fire to creativity is also
implied: the oppositions of fire and air, the two masculine (and
creative) elements, to earth and water, the feminine and receptive
pair, justifies the development of a link between poetry and the
West Wind.

The poet-prophet is, then, the inspired instrument that
transmits the voice of the Wind to mankind. He foresees the
future because he becomes identical with the Power, but this
happens only if he accepts becoming its instrument.

Shelley's belief in the power of Poetry is summarized in
these two tercets:

> Drive my dead thoughts[6] over the universe
> Like withered leaves to quicken a new birth!
> And, by the incantation of this verse,
>
> Scatter, as from an unextinguished hearth,
> Ashes and sparks, my words among mankind!
> Be through my lips to unawakened earth

The trumpet of a prophecy!

The note of despair, the fear that he could be less effective as a poet than he wished to be and, as Bloom and Trilling express it, "the sense of having failed one's own creative powers,"[7] is changed into hope for social and moral reforms, and a great confidence in the poet's role. The word of the poet becomes a messenger of the Spirit, after his soul has been renewed by its power.

The Ode, however, after the last positive statements quoted above, ends in a question:

> .... *o Wind,*
> *If Winter comes can Spring be far behind?*

The poet sums up the whole meaning of the poem. He reaffirms the idea of the cycle and the death-resurrection motif through the opposition Winter/Spring; he stresses his hope for a change and, moreover, he addresses his question to the Wind showing that it represents a superior Power to the poet who, by himself, is unable to give answers to his own questions.

NOTES

[1] J.E. Cirlot, A *Dictionary of Symbols* (London and Henley: Routledge and Kegan Paul, 1978), p. 373.

[2] Cirlot, p. 95.

[3] Earl R. Wassermann, *Shelley: A Critical Reading* (Baltimore and London: The Johns Hopkins Press, 1971), p. 239.

[4] Wassermann, p. 240.

[5] Wassermann, pp. 239-40.

[6] Wassermann explains that Shelley uses the adjective "dead" referring to his thoughts because, once expressed in poetry, they are no longer in the living mind.

[7] Harold Bloom and Lionel Trilling, *Romantic Poetry and Prose* (New York: Oxford University Press, 1973), p. 447.

ORWELL BETWEEN FACT AND FICTION

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The many contradictions found in Orwell's work[1] illuminate
the nature of his own consciousness; a consciousness capable of
important insights into the social and historical reality it
confronts. Yet he was unable to carry these perceptions far enough
or to establish the necessary connexions between them for any
searching analysis or radical critique of that reality. For this
reason, Orwell can be placed within a group of middle class
intellectuals[2] who aligned themselves with some conception of
Marxism in political and social thought and action. Like Orwell,
brought up in a society and, more particularly , a social group
which saw the individual as the primary factor in social
development, they were obliged by the particular events of
national and international history in their own time to recognize
pressures on the individual generated by larger social forces. Not
that Orwell felt an affinity with this group which he criticized
for the facile and essentially personal nature of their political
commitment. However, the model of society found in all these
writers, Orwell included, rests on and implies the polarisation
of the individual and environment. Orwell's basic dichotomy of
the individual and everything outside him, and his conception of
deterministic rather than dialectic relations between the two,
influence not only his view of history but of social groups and
society as a whole. It also led him to a profoundly misleading and
rigid distinction between writing for the effect of the content

and writing for the effect of words; the distinction between the
'social' and the 'aesthetic'.

Within the framework offered by Marxism, society, and the
place of literature within it, can be analysed in terms of a more
adequate model. It recognizes a much more complex and multi-
layered totality in which the relations between the elements take
the form not, as in Orwell, of a one way determinism but of a
complex dialectic. It is the English Marxist writer of this
period Christopher Caudwell who attempted an analysis in these
terms. His work can be used as an alternative viewpoint to
Orwell's, which suggests that Orwell's contradictions and
confusions can only become valuable in illuminating his
experience and situation if we step outside his 'bourgeois
individualistic' model of thought into a totalizing theory which
eliminates the dichotomy between literature and other forms of
life.

Orwell's distrust of theorizing ensures that we do not
find in his work a thought-out aesthetic, but his own literary
criticism and the essay he wrote retrospectively on his own
motives and aims in writing[3] are sufficient evidence of his
thought, and its contradictions, on this subject. Thus his own
criticism is concerned largely with the social and moral basis
and implications of the work considered: he insists that "an
artist is also a citizen and a human being,"[4] and endorses the
cartoonist's ridicule of the aesthete[5]. Yet he also suggests that
the latter's conception of 'pure' literature is in fact the ideal
and that the writer's social consciousness and purpose is a
burdensome duty forced upon him by a particular historical
situation[6]. This, along with his references to "the joy of mere

words", and "mere description" suggests his basic dualism of
concerns seen as specifically 'aesthetic/literary' and
specifically 'social',and that the relationship between the two
was seen in terms of a one-way determinism. His position,therefore,
is not unlike that of the Marxist writers whose model of society
rests on and implies the same polarization of individual and
environment and whose main criterion of literary judgement is its
truth to life,discussed earlier. Again   it is Caudwell who
attempts to overcome this dualism and resolve the problems it
raises by postulating a totality — here of social experience and
artistic activity — in which dialectical relations operate
between the elements.[7]

> *Consciousness, society, the whole world of*
> *social experience, the universe of reality,*
> *is generated by action, and by action is*
> *meant the tension between organism and*
> *environment, as a result of which both are*
> *changed and a new movement begins. This*
> *dynamic subject-object relation generates*
> *all social products — cities, ships,*
> *nations, religions, the cosmos, human*
> *values.*
>
> *Bourgeois culture is incapable of*
> *producing an aesthetics for the same reason*
> *that most of its social products are*
> *unbeautiful. It is disintegrating, because*
> *it refuses to recognise the social process*
> *which is the generator of consciousness,*
> *emotion, thought, and of all products into*
> *which emotion and thought enter.*

The contradictions in which Orwell's dualistic involve him become clear in the essay on Arthur Miller.[8] Since, in 1940, the writer's commitment not to a particular political cause but to the broader social values of freedom and justice was seen as ineffective then his only course is to maintain his individual integrity in the face of hostile social developments by his fidelity to "the individual reaction", by "emotional sincerity."[9] The artist can only protect his own individual inner life, he can no longer assert himself in or act upon the outer world.

It would appear that the frustration and withdrawal apparent in this essay do not result – or not solely – from Orwell's failure to commit himself politically, as contemporary Marxist critics might have argued[10] but from his failure in the commitment to art. By this I mean that, just as he denied the power of consciousness to transcend its immediate environment to achieve a critical consciousness of social structures and create effective programmes of social change and political action, so he failed to see the ability of imagination to overcome, for example, class-barriers, and to project alternative structures and ways of living[11]. His idea of a socially conscious art was to turn the novel into documentary. However, the naturalistic obsession with surface detail actually hinders real understanding and traps the consciousness in the very situation which is to be transcended and changed. Furthermore, Orwell's documentary obsession actually widens the gap between the observer and his subject – this is especially damaging in his account of the English working-class – because he does not see that a relationship is already set up between observer and observed – that they form a new totality which can be viewed critically from outside both. Orwell's pose

of the neutral observer bringing back objective reports thus leads
him to deliberately avoid any relationship — and thus any full
understanding — in relation to this subject. Yet, stepping
outside this obsession with neutrality it does seem clear that
his most valuable 'documentary' concerns the very subject in which
he was most fully involved as an active participant — i.e. the
Spanish Civil War. In *Homage to Catalonia* the real experience of
the militiaman is more free of distortion than Orwell's accounts
of the working-class at home not only because he *was* a militiaman
but because the pose of objectivity is abandoned. In his fiction,
Orwell's rejection of imaginative projection deprived him of the
ability to describe other situations and experiences from a
similar viewpoint.

Something must also be said about Orwell's most
fundamental perception into the relations between the writer's
activity and his social experience and attitudes: his insistence
that aspects of prose style both reflect and — as it were,
subliminally— enforce the writers attitudes to his reader, his
subject and, more generally, to the whole social environment and
structure. Rather than repeat Orwell's own arguments here[12] it
is important to ask whether his own writing fulfils his demands
for prose "like a window-pane."

This idea of prose itself develops from the obsession with
some impossible objectivity and the failure to see the subject,
the account and the intervening consciousness as part of a single
whole. It is noticeable, in connection with this point, that
Orwell often seems to consider the confession of his prejudices
rather than any attempt to transcend them, as sufficient
guarantee of objectivity[13].

In considering Orwell's own prose we find spurious
generalizations, a play with terms and use of loaded terms
masquerading beneath a pretence of objectivity:

> A humanitarian is always a hypocrite[14].
> This is not fatalism, it is merely acceptance
> of facts[15].
> The alienation of decent minds from Socialism[16].

What we might call 'public school' adjectives like "dreadful" and
"repulsive" are frequently used without any sense of awareness of
their implications; the tone is often rancorous and judgements
supported not by reason but enforced by the writer's own emotion
and emotional overtones of his words:

> The typical little bowler-hatted sneak
> — Straube's 'little man — the little
> docile cit who slips home by the six-
> fifteen to a supper of cottage-pie
> and stewed tinned pears[17].

And in his social thought so in his prose, Orwell is unable to
escape the attitudes and practices he consciously criticizes in
others. We can suggest furthermore that these techniques of his
style are deployed to create — by illicit means — the community
of opinion on which he could not depend but only will into
existence.

Orwell's thought and writing revolves around a group of
problems and contradictions which must remain on the level of

confusion and frustration so long as we remain within the terms he
himself offers for dealing with them. The nature of these problems
does seem to me to suggest that an explanation in terms of social
class and class ideology is useful: we can look at Orwell in the
terms offered by Caudwell in his discussion of the English
Romantic poets:

> *The doom of bourgeois poets in this
> epoch is precisely that the misery
> of the world, including their own
> special misery, will not let them
> rest, and yet the temper of the time
> forces them to support the class
> which causes it.*[18]

There is no question that Orwell himself did suffer these
contradictions, yet they can only become illuminating — if not
finally resolved — from a viewpoint outside and critical of the
terms in which they were presented to and by the writer.
This suggests the value of applying Marxist concepts and criteria
— as one available alternative viewpoint — not only to Orwell
but to a range of non-Marxist writers and, more generally, to a
range of critical problems. It also suggests that literary
criticism itself can become a valuable and legitimate tool of a
wider critical activity without compromising its own special ends
and interests since it is the very peculiarity of literature and
art — functioning within a total social context — which enables
it to project new ends and adopt fresh viewpoints, to escape forms
of consciousness which in other fields appear as adequate or
inescapable.[19]

NOTES

1 These contradictions in the response to Orwell's work are discussed in detail by Raymond Williams, *Orwell* (Fontana, 1971), Ch. 7.

2 Raymond Williams in his *Culture and Society 1780-1950* (Penguin Books, 1963), pp. 279-80.

3 "Why I write" *Collected Essays, Journalism and Letters* vol. I (Secker & Warburg, 1968).

4 "Benefit of Clergy: Some Notes on Salvador Dali," *Critical Essays*, p. 144.

5 Review of *The Novel Today* by Philip Henderson, *Collected Essays*, Journalism and Letters, vol. I, pp. 256-57.

6 "Why I write" pp. 4-5:
"As it is I have been forced into becoming a sort of pamphleter ."

7 Caudwell's essay on "Beauty: a Study in Bourgeois Aesthetics" *Further Studies*, pp. 112-13.

8 "Inside the Whale" *Inside the Whale and other essays*.

9 Loc. cit. pp. 45-6.

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[10] We have at this point to criticize the theory of political commitment and identification with the working class. Such commitment, we can suggest, is not the only effective means of ating critical consciousness and initiating change. Orwell is being critized here for his failure to escape from the dominant middle class ideology of his time.

[11] It is function of art which is emphasised by Jean Duvignaud in *The Sociology of Art* (Paladin, 1972) pp. 57-61.

[12] These are set out in "Politics and the English Language" and "The Prevention of Literature," in *Inside the Whale and other essays*, and in "why I write."

[13] "Why I write," p. 7.

[14] "Rudyard Kipling" *Critical Essays*.

[15] *The Road to Wigon Pier*, p. 192.

[16] Op. cit., p. 176.

[17] *Keep the Aspidistra Flying*. Williams, *Culture and Society* , p. 279 discusses Orwell's use of the adjective "little."

[18] *Illusion and Reality*, p. 98.

[19] This aspect of art is emphasised by Duvignaud, op. cit.. The parallel aspect of literary criticism is suggested by Perry

Anderson, "Components of the National Culture" *Student Power: Problems, Diagnois, Action*. ed. Cockbuen & R. Blackburn (Penguin Books, 1969).

WUTHERING HEIGHTS - The Choice of Narrator

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One of the most important controversies which critics have waged around *Wuthering Heights* concerns the nature of its plot, its construction, and more particularly the mode of narration.

The way the reader gets to know the story — a tale told by an old servant to a tenant — may seem dull and uninteresting, and even somewhat childish,if thought of in terms of "once-upon-a-time fairy tales.

Such tales are so pregnant with marks of a past that the interest of the listener is at once thwarted by the implicit fatalism or by the notorious lesson on morals at the end.

Fortunately,this partial loss of interest due to total destruction of suspense is not repeated in the reading/listening situations that are the basis for the structuring of the plot,that is, in the relationship between Nelly Dean and Mr. Lockwood — narrator and listener/narrator in *Wuthering Heights*

First of all,Emily Brontë is not at all worried about imposing or defending a moral code. Each character acts and reacts according to his own ideas and beliefs, allowing his feelings to speak louder than reason.

The author is not concerned whether society is to condone their behavior. She lets them loose to act of their own free will.

In addition to that,Emily handles time with care. As Nelly Dean tells her story, past and present are so intermingled that it is difficult for the reader to establish a distinction between them: the course of events seems to be taking place at the very

moment Nelly is talking about them.

The skillful use of flashbacks, of detailed descriptions
and of lively dialogues prevent the reader from thinking that
something is being "retold" to him, though sometimes the author
reminds him of this fact.   This can be seen in the following
remark by Lockwwod:

"At this point of the housekeeper's story, she chanced to
glance towards the time-piece over the chimney; and was in
amazement, on seeing the minute-hand measure half past one. She
would not hear of staying a second longer — in truth, I felt
rather disposed to defer the sequel of her narrative, myself: and
now, that she is vanished to her rest, and I have meditated for
another hour or two, I shall summon courage to go, also, in spite
of aching laziness of head and limbs."[1]

The example above is good illustration for Lockwood's
double role in the narrative structure of the novel: narrator and
listener.

The first chapter of the book is told in the first person
by Mr. Lockwood, the tenant of Thushcross Grange, who calls on
his neighbour and landlord, Mr. Heathcliff of Wuthering Heights.

As narrator, Lockwood deals with the present. His narration,
though, is a little affected and facetious, sometimes showing his
cynicism on the situation:

"He Heathcliff — probably swayed by prudential considerations
of the folly of offending a good tenant — relaxed, a little, in the
laconic style of chipping off his pronouns, and auxiliary verbs;
and introduced what he supposed would be a subject of interest to
me, a discourse on the advantages and disadvantages of my present
place of retirement." (Ch. 1, pp. 49-50).

As listener, Lockwood fulfills the function of introducing

the reader into the narration. Both are outsiders eager to know
from Mrs. Dean the saga of the Earnshaws and the Lintons.

Lockwood does not seem to be the ideal narrator: he is
subjective enough to show only his particular view of reality,
where his personal feelings are of great importance.

Nelly Dean, on the other hand, seems to be Brontë's perfect
choice of narrator. A talkative,uncultured woman she represents
the balance between reason and feeling.

As the characters' confidante she remains discrete
though she does not refuse to express her own ideas or to give
people some advice whenever they ask her to do so.

Conscious of her position of a household servant,she leaves
to Lockwood the chance to strike up a conversation.

In fact,the new tenant of Thrushcross Grange was eager for
more information about the peculiar people he found on his visit
to the Heights, and in this way he starts:

> "You have lived here a considerable time,"
> ... "did you not say sixteen years?"
> "Eighteen, sir; I came, when the mistress
> was married, to wait on her; after she died,
> the master retained me for his housekeeper."
> "Indeed."
>
> There ensued a pause. She was not a gossip,
> I feared, unless about her own affairs, and
> those could hardly interest me.
> However, having studied for an interval,
> with a fist on either knee, and a cloud of
> meditation over her ruddy countenance, she
> ejaculated.
> "Ah, times are greatly changed since
> then!"
> "Yes," I remarked, "you've seen a good many

alterations,I suppose?"
"I have: and troubles too," she said.
(Ch. 4, p. 74).

Though uncultured and superstitious, Nelly Dean is broad-
minded and objective.

The fact that she is an attentive and careful spectator of
all events but by no means a protagonist of any confers on her the
qualities of a good narrator: precision, clarity and objectivity.

Nelly is able to make a cold analysis of everything and
to give Mr. Lockwood a sharply clear and detailed account of the
sagas of the two families.

The following is one of the best instances of Nelly's role
as narrator. Catherine is telling her the reasons of her choice
for marrying Edgar Linton and, at the same time, asking for her
approval. Nelly does not interfere in her decision; but she
makes Cathy think over the facts and decide by herself whether
she was wrong or not.

"Are you alone, Nelly?"
"Yes, Miss," I replied. ...
"Oh, dear!" She cried at last. "I'm very
unhappy!"
"A pity," observed I, "You're hard to
please-so many friends and so few cares, and
can't make yourself content!"
"Nelly, will you keep a secret for me?..."
"It is worth keeping?" I inquired, less
sulkily.
"Yes, and is worries me, and I must let
it out! I want to know what I should do-To
day, Edgar Linton has asked me to marry him,
and I've given him an answer — Now, before

I tell you whether it was a consent, or denial — you tell me which it ought to have been."

"Really, Miss Catherine, how can I know?" I replied. "To be sure, considering the exhibition you performed in his presence, this afternoon, I might say it would be wise to refuse him — since he asked you after that, he must either be hopelessly stupid, or a venturesome fool."

"If you talk so, I won't tell you any more," she returned peevishly rising to her feet. "I accepted him, Nelly. Be quick and say whether I was wrong!"

"You accepted him! then, what good is it discussing the matter? You have pledged your word, and cannot retract."

"But, say whether I should have done so — do!"

"There are many things to be considered, before that question can be answered properly," I said sententiously. "First and foremost, do you love Mr. Edgar?"

"Who can help it! Of course I do," she answered."

(Ch. 9, pp. 117-8).

The dialogue goes on in this way, with Nelly compelling Cathy to answer why and how she loves Edgar.

When she comes to the conclusion that she loves him because he is handsome, young, cheerful, and rich, and loves her, Nelly is reasonable enough to raise three objections:

The first one is that the fact of his loving her goes for nothing; Cathy would probably love him without that and, very likely, with it and without the other attractions she wouldn't.

Cathy agrees.

Nelly then makes her realize that there are other handsomer
and possibly richer young men in the world; to which Catherine
replies that if there be any they are out her way.

Nelly makes the last attempt:

> "He won't always be handsome, and
> young, and may not always be rich."
> "He is now: and I have only to do
> with the present — I wish you would
> speak rationally."
> "Well, that settles it — if you
> have only to do with the present, marry
> Mr. Linton."
> "I don't want your permission for
> that — I SHALL marry him; and yet, you
> have not told me whether I'm right."
> "Perfectly right! if people be
> right to marry only for the present."
> (Ch. 9, p. 119).

Nelly's function as narrator is the same as a Greek Chorus.

As the *Princeton Encyclopedia of Poetry and Poetics* puts it,
"the chorus attends the action as a dependent society in miniature,
giving the public resonance of individual action. Thus the chorus
exults, fears, wonders, mourns, and attempts, out of its store of
moralities to cope with an action whose meaning is both difficult
and unfamiliar.

By doing so the chorus generalizes the meaning of an action
and at the same time revives and refreshes the choral wisdom.
But almost never is the chorus' judgement of events authoritative;
if it is an intruded voice, it is normally the voice of tradition,

not the dramatist."[2]

Like a chorus, Nelly Dean stands on one of the sides of the stage. Though not a protagonist, she lives in the same time and at the same place in which the tragedy takes place. And she comments objectively on the action, to make the audience — Lockwood and readers — understand it better.

Although the method of narration used in *Wuthering Heights* has been often criticized, we still think that the choice of Nelly Dean as narrator has provided Emily Brontë with one more important structural device used to create a sense of balance.

There could surely be no better point of view than the Earnshaws' old servant's: Nelly Dean possesses all the qualities required of a good narrator: a broad-minded, well-balanced woman, she is a careful and attentive observer and an objective and meticulous reporter.

NOTES
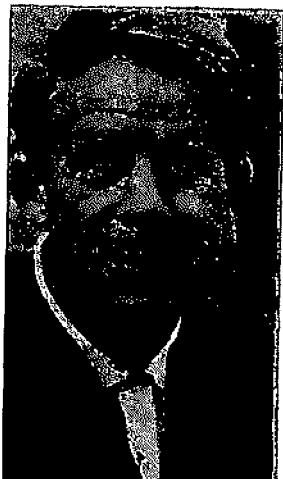
[1] Emily Brontë, *Wuthering Heights* (Great Britain: Penguin Books, 1969), Ch. 9, p. 129.
All subsequent quotations from this novel are taken from this edition.

[2] Preminger, Warnke + Hardison, *The Princeton Encyclopedia of Poetry and Poetics* (New Jersey: Princeton University Press, 1974), p. 125.

ÜBER SCHELME UND LÜGNER IN DEN HUMORISTISCHEN ERZÄLUNGER VON SIEGFRIED LENZ

Hedwig Kux

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Siegfried Lenz veröffentlichte im Abstand von zwanzig
Jahren zwei Sammelbände humoristischer Erzälungen:
"So zärtlich war Suleyken, Masurische Geschichten," Hamburg 1975
und:
"Der Geist der Mirabelle, Geschichten aus Bollerup," Hamburg 1975.
Suleyken ist ein Dorf in Masuren "im Rücken der
Weltgeschichte wie Siegfried Lenz sagt. Bollerup, das zwanzig Jahre
später erdachte Dorf liegt südlich von Apenrade an der Ostsee.
Suleyken scheint eine Idylle zu sein und seine Bewohner, so meint
man, können es sich leisten, den Ereignissen des Lebens" schweigend
und geduldig entgegenzusehen." Sie bewältigen auf ihre Weise, was
ihnen widerfährt. Manchen Dingen messen sie übertriebene Bedeutung
bei, andere wiederum halten sie für unwichtig. In jeder Geschichte
werden Nebensächlichkeiten in übertriebener Weise erwähnt, zur
Illustration von Personen und Situationen. Zum Beispiel sagt
Siegfried Lenz von zwei Reportern, die in Böllerup eintrafen "sie
packten Seife und Waschlappen aus" (Seite 101) Von Fotoapparaten
sagt er nichts dergleichen wiewohl man sie doch bei Reportern
erwarten könnte. Alle Einwohner Suleykens und Bollerups sind
miteinander verwandt oder mit dem Ich-Erzähler versippt. Wo der
Verwandtschaftsgrad nicht mehr festzustellen ist, wird er erneuert
oder ersetzt durch Heiratsverwandtschaft. Die nichtversippten
Personen sind meistens Gegenspieler. Sie werden nicht immer mit

zärtlichen Schmeichelworten bedacht. Zum Beispiel, "dieser Mensch"
(Sul.. S. 19) oder "Satan" plus Vorname (Sul. S. 13). Natürlich ist
Lothar Emmendinger, der Jagdpächter aus Kiel (Boll. S. 15) kein
Vetter und kein Onkel. Doktor Dibbersen, der Arzt, wohnt wohl im
Dorf und kennt seine Bolleruper (Bol. S. 59) ist aber mit keinem
versippt. Er zahlt den drei Bolleruper Feddersens den Spass heim,
den sie sich mitternächtlich mit ihm erlauben, womit? mit einer
genau ermittelten Rechnung. (Bol. S. 34) Niemand wird glauben oder
Verdacht schöpfen, dass etwa der Zuchthäusler (in Hausschlachtung,
Bol. S. 41) ein Neffe oder gar Schwager des Schmieds sei. Vom dem
Knecht Ingo ist auch nicht bekannt, dass er mit einem Feddersen
verschwägert sei (Bol. S. 35), er hatte starken Haarwuchs und war
ein Findelkind.

Trotz ihrer Verwandtschaft sind die Schelme der Suleyker und der
Bolleruper Gesellschaften recht verschieden. Die erste Geschichte
aus Suleyken, zum Beispiel, stellt den Ältesten vor: Hamilkar
Schass heisst der Senior, 71, Grossvater des Ich-Erzählers Zwei
Geschichten handeln von ihm. Nichts bringt den alten Herrn (oder
Herrchen, wie man mit Lenz sagen müsste) davon ab, seiner
Leseleidenschaft zu frönen. Selbst der anrückende Feind kann ihn
nicht in seiner Lektüre unterbrechen. Vom Gesprächspartner verlangt
er Höflichkeit, wie er selbst immer höflich ist. Die im jeweiligen
Gespräch angesprochenen Probleme würden dann schon geregelt werden,
zu ihrer Zeit.Seine gelegentliche Geistesabwesenheit und
provokante Ruhe bringen seine Gegenspieler zur Verzweiflung, wie
im Falle des Kommandanten der Kulkaker Füsiliere (Sul. S. 24). Und
doch leistet er am Ende mehr als die anderen braven Soldaten. In
der zweiten Geschichte fängt er allein zwei Schmuggler, ohne dass
Alarm gegeben wurde und ohne die vortrefflichen Instruktionen

auswendig gelernt zu haben, wie die anderen Füsiliere.

Der zweite der Schelme ist von schöner Gestalt, sehr begabt, in
überzeugender Rhetorik. Seine Unterhaltung ist auch sehr
geistesgegenwärtig, denn er kann, wenn erforderlich, recht
praktisch lügen. Sein erster Auftritt auf dem Markt von Schissomir
bringt uns eine Beschreibung dieser ländlichen Kulisse: Nicht
etwa eine Mischung bekannter Marktfarben zeigt Siegfried Lenz.
Nein, er lässt den Markt erstehen aus Gerüchen, Geräuschen,
Düften, und etwas Gestank, so:

"Zum Markttag kam neuerdings auch ein Wanderfriseur nach Suleyken,
ein kleiner vergnügter Mann, der den Leuten das Haar im Freien
abnahm, mitten im Quieken der Ferkel, im heiseren Brummen der
Ochsen, zwischen all den Gerüchen eines masurischen Marktes,
zwischen dem erdigen Geruch nach neuen Kartoffeln und dem Gestank
nach altem Kohl, zwischen dem scharfen Geruch nach Kisten und
Bretterzeug, nach Fischen, Hafer und Terpentin, zwischen dem
sanften Kalkgeruch ausgenommener Hühner und dem sauberen Duft nach
Äpfeln und Mohrrüben. Zwischen all diesen Gerüchen und Geräuschen,
in dieser hochschwangeren Luft, bediente der Wanderfriseur an
einem trauten Herbstmorgen einen grossen, schönen, schwarzhaarigen
Mann, den schönen Alec, wie er genannt wurde, ein Wunder von
Wuchs, auch wenn dieses Wunder barfuss ging." (Sul. S. 26).

Wer meint, Siegfried Lenz verlange von den Lesern der Suleyker
Geschichten zu wenig kritische Gedankenarbeit, müsste spätestens
am Markt von Schissomir seine Meinung ändern. Man versuche nur,
Gerüche in Gedanken zu reproduzieren! Der Schöne Alec, das
barfüssige Wunder an Wuchs, versteht es mit Hilfe eines Briefes
seines Onkels, sich als reichen Erben auszuweisen. Dieser Brief,
worin ihm ein Schleppkahn als Erbe vermacht wird, dazu Alecs

Redekunst verschaffen ihm erst einmal die gut duftende Behandlung durch den fliegenden Friseur. Obendrein erhält er einige Tropfen einer Essenz, die einen Duft "nach persischem Flieder" (Sul. S. 27) verbreitet. Dieser orientalische Duft besiegt alsobald die Gerüche von Schissomir. Nachdem Alec sich mit Hilfe des Briefes hinreichend Lebensmittel aus dem Markt beschafft hat, bewirtet er den Erbonkel. Der Markt geht zu Ende, die Gerüche verschwinden aber auch die Zahlungsfrist für die erbetenen Kredite verstreicht. Jetzt wird Onkel Manoah, der Erblasser, den heranströmenden Gläubigern ein Schnippchen schlagen, "– an das sie ihr Leben lang zu denken haben werden" (Sul. S. 32) Der Onkel stellt sich tot, so dass sich die Gläubiger, aus Scham, seinen Tod gewünscht zu haben, schnellstens verabschieden.

Nicht alle Helden der Suleyker Gesellschaft wohnen im Ort. Der schöne Alec zum Beispiel lebt mit seinen drei Söhnen auf dem ererbten Schleppkahn. Es sind zarte Knaben aber durchweg begabt. Ihr Väterchen wusste sicherlich, warum er sie zu sich nahm. Übrigens werden sie genannt nach den Ortschaften, wo sie die Welt erblickt hatten (Sul. S. 34) Dieser Einfall bedingt, dass der Erzähler die drei Halbbrüder folgendermassen nennt: "Ortschaft Sybba, Ortschaft Schissomir, Ortschaft Quaken" (Sul. S. 34) Ihre Behausung, will sagen, ihr Kahn sah aus" – na, wie wird er ausgesehen haben: wie ein schwarzer Holzschuh voll Flöhe, so sah er aus. Hier wimmelte es, da bewegte sich was, hier roch es, da gab es piepsender Laut: überall Interessantes, überall Neuigkeit und Abenteuer. Man ass angenehm, man badete gelegentlich, man schlief unter dem milden Glucksen der Flusswellen bis in den späten Vormittag das Paradies war niemals näher." (Sul. S. 34-35). Der Schelmennachwuchs entfaltet denn auch seine Talente, vom Vater

mit "düsterer Liebe" umgeben. Diese Liebe ist es wohl, die den
Vater veranlasst, der jetzt zu Ostern eine sentimentale Regung
hat, seiner Schelmenbrut Prügel anzubieten, bis sie wisse, alles
vom weissen Osterlamm.
" — klein, ganz ganz klein, und sauber. Und ausgeschlafen. Und
ganz weiss, Ehrenwort —" (Sul. S. 36). Alsdann bestellt Alec
einen vollständigen Ostertisch. Jetzt können die Jungen zeigen,
wie man durch schnelle Beine, gewandtes Klettern und, wenn
erforderlich Ohnmächtigwerden, zu den besten Fischen, Schinken
und Getränken kommt, während der Vater den rednerischen Teil des
Unternehmens versieht mit glaubwürdigen Lügen.
Nachdem nun das Ostermahl angerichtet ist, sieht man sich dem
grösseren Problem gegenüber: Gäste zum Festessen kann man nicht
stehlen. Wer aber in letzter Minute einlädt, muss mit Absagen
rechnen. Nur drei Gäste waren noch zu haben, war es Zufall oder
Osterwunder? Es waren die drei Lieferanten des Ostertisches, die
soeben bestohlenen, wodurch das Festessen keineswegs langweilig
wurde.
Hier wird anzumerken sein, dass die Suleyker Schelme sich immer
auf ihren guten Appetit verlassen können. Von den Herren aus
Bollerup wird das nicht so oft behauptet. Was da so aufgetischt
wird erfährt man so nebenbei, zum Beispiel beim Begräbnis (Sul. S.
58) oder auf Reisen (Sul. S. 54) beim Militärdienst (Sul. S. 17)
beim Sterben, und anlässlich eines ausdauernden Streites um die
Vorfahrt (Sul. S. 112) Im Zirkus möchte man auch nicht hungern
(Sul. S. 79), eine Friedenskonferenz kann kaum mit leerem Magen
geführt werden (Sul. S. 145). Wenig appetitanregend ist die
siebente der masurischen Geschichten oder die Sache mit dem
Frosch. Man könnte auch sagen, wie ein Schelm einen anderen

hereinlegen wollte. Mir ist die Geschichte überhaupt nicht neu.
Ich habe sie schon aus zuverlässiger Quelle gehört. Man sagte
dabei, dies sei der erste Schwabenstreich. In Hessen-Nassau soll
die Sache auch passiert sein. Die Situation ist jeweils die
gleiche: auch bei Siegfried Lenz gehen zwei Bauern zum Markt und
haben einen langen Fussweg zu bewältigen. In unserem Falle sind
es die Herren Jegelka und Plew, die zum Markt wollen. Einer hat
seine alte Ziege gut verkauft, während der andere sein Kälbchen
nicht los wurde, weil er keine annehmbare Offerte bekam. Auf dem
Heimweg biete er Plew sein Kälbchen an, wenn dieser einen Frosch
verschlucke. Plew findet das Angebot sehr hochherzig (Sul. S. 66),
packt den Frosch beisst ihn durch und verschluckt die abgebissene
Hälfte. Damit gehört ihm schon das halbe Kalb. Den Rest des Frosches
will er später essen. Nach einiger Zeit wird ihm derartig übel,
dass er sich gerne vor dem Restfrosch gedrückt hätte. Nun bietet
er seinem Begleiter das soeben erworbene halbe Kalb an, wenn dieser
die andere Froschhälfte vertilge. Jegelka findet das Angebot nicht
übel, verschlingt den Froschrest. Somit gehört ihm wieder das
ungeteilte Kälbchen. Das Ende heisst in der jeweiligen Landschaft:
Warum haben wir eigentlich den Frosch gegessen? Übrigens gehören
die Herren Plew und Jegelka nicht zu den Verwandten des Ich-
Erzählers.

Interessant ist die Vielfalt der masurischen Familiennamen der
Suleyker Schelme. In Bollerup heissen die meisten Leute Feddersen.
Ich habe bei den Leuten aus Suleyken 34 masurische Familiennamen
gezählt. Hier einige Beispiele. Die für mich ganz unaussprechlichen
lasse ich aus:
Adolf Abromeit   Hebamme Martha Mulzereit

Luise Luschinski   Viehhändler Kukielka

Titus Anatol Plock   Katharina Knack

Anita Schibukat   Adam Arbatzki und andere mehr.

Sind das nicht schönklingende Namen? Die Mehrzahl der Bolleruper

haben den gleichen Namen, wie schon gesagt, sie tragen zwecks

besserer Unterscheidung Zusatznamen. So entstehen die vornehmen

Doppelnamen wie zum Beispiel der Bauerndichterin Alma Bruhn-

Feddersen oder der beiden zerstrittenen Familien Feddersen-Ost und

Feddersen-West.

Zwanzig Jahre nach den "Masurischen Geschichten" erscheint "Der

Geist der Mirabelle Geschichten aus Bollerup," 1975 Im Vergleich

zu Suleyken ist Bollerup ein modernes Dorf mit Information und

Konsumangeboten gut versorgt, genau wie die benachbarten Städte.

Es liegt auch nicht,wie Suleyken, im Rücken der Weltgeschichte.

Die zwölf Geschichten werden gemütlich erzählt. Etwa so fängt jede

an: In Bollerup, Nachbarn, lässt sich der Wind nicht aufhalten —"

(Bol. S. 11) Oder "Zwei Familien, Nachbarn, gab es in Bollerup" —

(Bol. S. 19) "Auch in Bollerup, Nachbar, gibt es Ereignisse, die

niemand sich entgehen lassen darf —" (Bol. S. 85).

In Bollerup finden kulturelle Veranstaltungen statt, Wahlsitzungen

Reporter besuchen das Dorf, Lieferautos erleichtern die Einkäufe

der Bewohner entlegener Höfe. Ein besonderes Ereignis ist die

Lesung der Bauerndichterin Alma Bruhn-Fedderson, deren "Ruhm leise

und beständig wächst" (Bol. S. 98).

Die Bauerndichterin hat es nicht leicht, ihr Bolleruper Publikum

vom Wesen der Dichtung zu überzeugen. Zunächst einmal muss sie

sich einige vorbereitende Störungen gefallen lassen dann eine

Kurzstandpauke zum Thema "Schäden des Alkohols halten. Offenbar

gilt sie auf diesem Gebiet als Autorität. Jedenfalls stellt das

Publikum fragen und erst nach Beendigung der ausführlichen
Diskussion kann die eigentliche Lesung beginnen. Ihr
Jahreszeitenzyklus wird geziert durch kleine Diebstähle. Das wäre
ja nicht das Ärgste, denn die Plagiate werden nur vom Ich-Erzähler
bemerkt, woran wiederum nur seine Vorbildung schuld sein kann.
Nach der Schweigepause werden noch drei kürzere Stücke verlesen
und nun erst erwacht die Kritik. Höflich aber bestimmt werden
Änderungen im Text beantragt. Zweifellos ist das eine elegante
Form der Kritik. Es handelt sich einmal um den Begriff Aalgabel
(Bol. S. 95). Aalgabel ist sicher ein Wort das inspirieren könnte.
So erfindet denn auch Alma Bruhn-Feddersen eine siebenzinkige
Aalgabel. Aalgabeln haben nur vier Zinken erklärt alsbald ein
Fachmann, Fischer aus Kluckholm. Die Antwort der Autorin ist
köstlich: "Eine Zinke zuviel und ihr begreift Dichtung nicht
mehr." (Bol. S. 95) Wahrscheinlich nimmt die Dichterin für sich
in Anspruch, etwas in der Welt verändern zu können, nämlich durch
Dichtung. Auf den Einwurf, Rehe würden nicht im Schnee nach
Gräsern graben, erklärt sie kategorisch: "Dann wird das Reh eben
ab heute graben, und alle werden sich daran gewöhnen, auch du."
(Bol. S. 97) Die Bolleruper nehmen Anstoss an der fehlenden
Tatsachenkenntnis ihrer Dichterin. Diese Tatsachen, die im
Gegensatz zu ihren Erfahrungen stehn, so ist ihre Kritik durchaus
konstruktiv zu verstehen, und sie tut dem Ruhm der Dichterin
keinen Abbruch.
Ein Gegenstück zur Geschichte von der Bauerndichtung ist die
vierzehnte der masurischen Geschichten, "Sozusagen Dienst am Geist"
(Sul. S. 117) Der Schulinspektor kommt überraschend,um die Schule
von Suleyken zu inspizieren. Er fragt einen Schüler, der zuvor,
zusammen mit seinen Kameraden, die Aalreusen des Lehrers am

Flüsschen kontrolliert hatte: "Sage mir, Titus Anatol Plock, wo
und zu welcher Bedingung ein Herrchen ins Wasser springt, um zu
tauchen nach einem Ring? und fügte hinzu den vollen Familiennamen
des Dichters." (Sul. S. 124) Titus Anatol Plock, der mit
Aalreusen Bescheid weiss, kann sicher in fliessendem Wasser gut
tauchen. Was würde es ihm nützen zu kennen des Tauchers klassische
Beweggründe?

Die Erzählweise, die Erzielung der Pointen, die Komik der
Situationen in den humoristischen Geschichten von Siegfried Lenz
sind schon mehrfach behandelt worden. Ebenso die geschickt
dosierten Dialektformen sowie die Umstellung der Rede. Ich
wollte etwas über die Menschen herausfinden, "die Leute dieser
Landschaft, die Masuren: Kätner, Holzarbeiter, Bauern, Fischer,
kleine Handwerker." (Siegfried Lenz in "Beziehungen," dtv. 1973,
S. 27) und über die Einwohner von Bollerup, ihre eigentümliche
Erlebnisfähigkeit und ihre Art zu reagieren (S. Lenz im Vorwort,
S. 10).
Von den Suleyker Geschichten wird gesagt, sie seien eine gelungene
"Fluchtidylle." (Hans Wagener, Siegfried Lenz, S. 105) und sie
hätten heute zeitnäher und realitätsnäher geschrieben werden
müssen.
Suleyken aus Idylle, als heile Welt. Ich möchte nur fragen, was
ist das für eine Idylle wo die Menschen allerhand Tricks anwenden,
ihre Bauernschläue aktivieren müssen, nach Bedarf ein bisschen
lügen, um zu einem guten Essen oder zu einem kleinen Vorteil
gelangen zu können, oder gar zur Selbstverteidigung? So idyllisch
kann doch diese Welt nicht sein? Warum gibt es denn gerade bei
Kleinbauern diese Pfiffigkeit, diese Bauernschläue und Sturheit,

diese provozierende Geduld? Wie ist so ein übertriebener Geiz
möglich dass sich eine Geschichte erfinden lässt "Die Hintergründe
einer Hochzeit?" (Bol. S. 79) Was verführt diese fleissigen Leute
zum Stibitzen und Schwindeln? Sicher gibt er mehr als eine
Antwort darauf. Vielleicht sind es Charakterzüge und Fähigkeiten,
die zur Zeit der Leibeigenschaft entwickelt und zum Überleben
notwendig waren?
Die Schelme aus Masuren und aus Bollerup sind keine Weltverbesserer,
sind keine Sozialkritiker und werden auch nicht zum Zwecke der
Brüskierung oder Herausforderung missbraucht. Könnte es nicht sein,
dass alle diese komischen Situationen, diese eigenartigen Reaktionen
der gemütlichen Geschichten einen Sinn haben,einen Effekt erzielen
wollen, der aussberhalb der Erzählsituation liegt? Dann wären sie
nämlich sehr zeitnah. Dergleichen Geschichten gibt es nicht allzuoft.
Wer sie entsprechend zu erzählen weiss, ist sicher nicht nur als
Dichter begabt. Manche Witze haben eine Art Nebenfunktion, die
ausserhalb der Erzählsituation liegt.
Ein Beispiel zur Erläuterung. Es hat sich wirlich zugetragen.
Meine Quelle ist einwandfrei. Ein Berliner Ehepaar hat Besuch aus
der Bundesrepublik. Die Berliner laden ihre Freunde, die noch
nicht dort waren, zu einer Fahrt nach Ostdeutschland. An der
Grenze fragt der Diensttuende! "Haben Sie Waffen bei sich?"
Anwort der Freundin: "Nein, braucht man die hier?" Der ausserhalb
dieser Geschichte liegende Effekt liegt auf der Hand.
Wer in den Geschichten der Leute von Suleyken und der Herrschaften
aus Bollerup den zweiten Sinn herausfände, eben den Sinn, der
ausserhalb der Erzählsituation liegt, könnte jei auch leicht den
Oberschelm mit Namen nennen. Er heisst sozusagen Siegfried Lenz.

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Masurische Familiennamen

Hamilkar Schass	Schuster Karl Kuckuck
Adolf Abromeit	Valentin Zoppek
Uromeit	Ludwig Karmickel
Luise Luschinski	Anatol Plock
Herr Plew	Amanda Popp
Herr Jegelka	Herr Piepereit
Stanislaw Griegull	Amadeus Lock
Zappka, der Briefträger	Christph Ratz
Schwalgun	Heinrich Klumbies
Der Viehhändler Kukielka	Joseph Jendritzki
Anita Schibukat	Hebamme Martha Mulzereit
Bosniak	Adam Arbatzki
Edmund Piepereit	Egon Zagel
Sbrisny	Butzereit
Strichninski	
Waldemar Gritzan	Katharina Knack
Elsbeth Zwibulla	Edmund Vortz
Kneck auf Knecken	Dr. Dibbersen
Gonsch von Gonschor	der Kommandant Trunz
Scheppat, der Gendarm	die Vettern Urmoneit
Stanislaus Skrrbik	Glumskopp, der zahnlose Knecht

Personenbezeichnungen: Onkelchen, Tantchen, Herrchen, Gevatterchen, Weibchen, Kinderchen, Lehrerchen, Brüderchen Lachudder, Jüngelchen, Bürschchen, Madamchen, Grosstantchen, Marjellchen.

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MISS HELLMAN'S HUBBARD PLAYS: The *Little Foxes* AND *Another Part of the Forest*

Júnia de Castro Magalhães Alves - UFMG

Lillian Hellman's plays present a close interaction between character and setting. Few characters, if any, find happiness at home. Although rooted some place, they dream of some place else — unreal worlds and faraway lands — their own fanciful hopes.

Four out of Miss Hellman's eight plays deal specifically with the Southern background and way of life; *The Little Foxes* and *Another Part of the Forest* are among them. They show her concern for and knowledge of her native region, its history and its people. The action comprises a series of events showing the chacacters' psychological needs and their often unsuccessful attempts to escape their land and background.

I wish to show that the geographical element in those plays is more than scene painting to lend local color, and that the characterizations are more than melodramatic inventions to please an audience. The plays of the Hubbard series study the exploitation of man and land and introduce the notion (further developed in her other plays) that existence is only meaningful in action.

Another Part of the Forest tells the story of the Hubbard Family: Marcus and Lavinia, and their children Ben, Oscar and Regina. They all want to escape Marcus' domination. The action begins when Regina is twenty years old and in love with John Bagtry, a member of the Southern aristocracy. She wants to elope with him to Chicago, but he only dreams of fighting a war anywhere. Oscar plans to get rid of his father by marrying a prostitute and

leaving with her for New Orleans. He needs the family money for
that. Lavinia dreams of moving to Altaloosa and taking care of
some poor colored children. Ben wants control of all the money and
property, which he finally gets by blackmailing his father. For that
he uses the revelation of his half-insane mother that Marcus was
responsible for the massacre of some twenty Confederate soldiers.
At the end Regina and Oscar align with their brother (though they
hate him) just because he is the new power of the clan. The *Little
Foxes* continues the Hubbards' story. Regina is now married to
Horace Giddens, a rich banker, and Oscar to Birdie Bagtry, John's
cousin.Both marriages are a consequence of the family's financial
interests. The action begins when Regina and her two brothers are
doing business with a Chicago tycoon. With his money they plan to
build cotton mills in Lionnet, the old plantation of Birdie's
youth. They still need Horace's consent to finance a part of the
project. Horace, who is recovering from a heart attack in a
Baltimore hospital, is brought home so that Regina can persuade
him to close the deal. He refuses to. A fight for money and power
ensues among the Hubbars. In a climactic scene Regina lets Horace
die by not giving him his medicine. She then takes over, as they
now depend on her money to strike the bargain. Her victory is
only partial, however. Her daughter, Alexandra, revolts and
announces that she will be leaving for good.

The Hubbard Plays follow a reverse chronological order. They
criticize the South and suggest better days, finer hopes. They show
a process of degeneration which begins with the collapse of the
lofty but weak aristocrat and the rise through both work and fraud
of a new ruling class — work decreases as degeneration increases —
and which ends with a sudden inversion of values, a strong reaction
against villany and a near return to the aristocratic noble feelings

and dreams of justice. The Hubbard Plays show the close relationship between man and land and also the iterative nature of history.

Another Part of the Forest is set "in the summer of 1880 in the Alabama town of Bowden."[1] The physical process of subduing the vast Southern territory has already taken place. The Civil War had reduced the remaining aristocracy to a powerless minority. In the play this group is represented by John Bagtry, his Aunt Clara and Cousin Birdie, examples of the old magnificence of the South and of a subsequent shabby manner of living. It is Birdie, herself, who relates her family misfortunes: "The truth is we can't pay or support our people, Mr. Benjamin, we can't — Well, it's just killing my Mama. And my Cousin John, he wants to go away." (p.346).

Aunt Clara, John Bagtry and Birdie are the ultimate representatives of a decadent ruling class who had lived at ease for two or three generations free from the necessity to toil and to compete. They had been, as such, easy victims to financial speculation and to the elaborate machinery of ingenious chicanery, because they required credit and security to get on in life. Elegance in manners, general intelligence and imagined superiority were qualities not strong enough to face the real difficulties of working the land and building the cotton kingdom. The aristocrats could not survive, as they could not adapt to the real necessities of the South. Birdie explains, in pathetic words, "I was such a ninny, being born when I did, and growing up in the wrong time. I'm much younger than my brothers. I mean I am younger, if they were living. But it didn't do any good." (P. 345).

There were indeed few answers to the problem of the remaining aristocrats and these answers were escapes rather than real solutions. A most common escape was through the marriage of the land owner's daughter (Birdie) to the stout planter's son

(Oscar). It is Ben who sees the chance and advises his brother

Oscar: "Better you'd stayed for the lemonade and fallen in love

with Lionnet's cotton — fields." (P. 344). Later on he says: "Just

as good for Oscar to marry a silly girl who owns cotton, as a silly

girl who doesn't even own the mattress on which she —" (p. 375).

Similarly, Regina's choice of a husband is also planned by

this greedy and cunning Ben, who advises her to marry Horace

Giddens: "He's in love with you. That was obvious when he was here.

It's good society, that family, and rich. Solid, quiet rich." (P.

339). And at the end of the Act Three he says to Regina: "Now honey,

about you. You're a scandal in this town. Papa's the only person

didn't know you've been sleeping with the warrior." (P. 400), "Papa,

and Horace Giddens in Mobile. How soon he'll find out about it, I

don't know. Before he does, we're taking you up to see him. You'll

get engaged to him by next week, or sooner, and you'll get married

in the first church we bump into." (P. 400-01).

Besides this decadent ruling class, there are its servants,

the former slaves, who have not gone soft, and who are now stronger

than their masters. Lillian Hellman finds an organic dependence

between the white masters, negro servants and the land. The

servants and land are both the victims of greedy exploitation by

the vulgar rich. Addie, the mammy says: "Yeah, they got mighty

well off cheating niggers. Well, there are people who eat the

earth and eat all the people on it like in the Bible with the

locusts. And other people who stand around and watch them eat it."

(P. 182).

Miss Hellman's Negroes are not cast romantically. For her

they are wise human beings who can easily adapt to the needs of

life, who have enough common sense to know a dream from reality.

Addie replies to Horace when he promises to consider her in his

will: "Don't do that, Mr. Horace. A nigger woman in a white man's
will! I'd never get it nohow." (P. 184). Roles such as these are
not the ordinary roles given to servants. In the Hubbard Plays,
the parts played by the two black mammies, Addie and Coralee, are
the very heart of the play, no doubt two different versions of
Lillian Hellman's own nurse Sophronia, whom she considers one of
the strongest influences in her childhood and adolescence: "Oh,
Sophronia, it's you I want back always. It's by you I still so
often measure, guess, transmute, translate and act."[2]

The negro, with his quick, intuitive understanding of what
was required of him, and the aristocrat, with his broad conceptions
of gentility and honor, represent, in the dramatic world of
Lillian Hellman, the remains of the Old South fast being bought up
by the vulgar rich.

The new ambitious planter quickly saw the profit to be made
from the good soil and climate. His cotton kingdom, with its
hardships of competition and speculation, became the new frontier.
Marcus is Lillian Hellman's representative of this rising class in
the New South. He worked hard in the beginning, cheating whenever
the chance came, to grow prosperous. Marcus was smart, callous and
unscrupulous and won his enviable position through thrift, luck
and fraud. When talking to Captain Bagtry about the Civil War he
shows his opportunistic streak: "Why don't you choose the other
side? Every man needs to win once in his life." (P. 367). Later he
says to Regina: "I am not interested in Ben's motives. As long as
they benefit me, he is welcome to them." (P. 369). Lavinia, his
wife, accuses him of treason and bribery. She tells Ben that
Marcus had got rich buying salt from the North and then selling it
to the Southern troops at exceedingly high prices: "People were
dying for salt and I thought it was good to bring it to them. I

didn't know he was getting eight dollars a bag for it, Benjamin,
a little bag. Imagine taking money for other people's misery."
(P. 383-84). She also reveals, in her half-insane speech, that
even if unwittingly, Marcus had caused the massacre of twenty-
seven young Southern soldiers and paid a Capitain Virgil E.
McMullen to write him false passes "proving he had ridden through
Confederate lines the day before the massacre, and didn't leave
till after it." (P. 385).

But Marcus also had the good characteristics of those who
are close to the soil. As he says: "At nine years old I was
carrying water for two bits a week... When I was twelve I was
working out in the fields... At fourteen I was driving mules all
day most of the night." (P. 376). Marcus was physically and
mentally strong and, though unscrupulous, had worked hard. A
product of laissez-faire economics, he believed deeply in free
choice and in unlimited opportunity. He succeeded and then, as
W.J. Cash, in his classic study *The Mind of the South*, describes
the newly-rich in the Reconstruction, "found himself free from
every necessity of toil, free from all but the grateful tasks of
supervision and mastery, free to play the lord at dignified ease."[3]
Since he was a boy he had a strong sense of class awareness and
wanted an education to make his gentility legitimate. He explains:
"I took the first dollar I ever had and went to the paying library
to buy a card....I taught myself Latin and French.... I learned
my Greek, read my classics, taught myself — Think what I must
have wanted for sons. And then think what I got. One trickster,
one illiterate." (P. 376).

Thus Marcus is a mixture of good and evil. As he was a
direct product of the soil he was a good man, but as he was too
ambitious he was evil. In turn Ben, Oscar and Leo, without roots

in the soil, are mutants. To follow them is to see the process of
degeneration. Marcus is right, if crude, in judging his sons as
degenerates. It is ironic that the qualities he despises in them
are the same qualities which helped bring him success. For
example, Ben inherits Marcus' cunning and unscrupulousness. Ben's
motto is land and money without work, credit without capital,
enterprise without honesty. He cheats Birdie, Oscar, Regina,
Lavinia and his father, whom he of course hates most. Ben acquires
much of the evil spirit of Marcus, and Oscar, his father's hoggish
instincts. Marcus' lust for Regina, latent and disguised in
paternal love, surfaces in Oscar's open lust for Laurette. In Leo,
the third generation, we see a man who is wild, stupid and
dishonest. He beats animals for pleasure, steals money and bonds,
lusts for women and has no capacity to think and solve his own
problems.

This individualistic family, though filled with hate, also
understands that it must stay together to succeed. Horace mentions
that Ben wants him as partner "to keep control in the family" (p.
170) or as Regina says: "And in addition to your concern for me,
you do not want control to go out of the family. (To Ben). That
right, Ben?" (p. 147). Ben, in turn, won't marry into another
family for he doesn't want to share his wealth: "What's the
difference to any of us if a little more goes here, a little less
goes there — it's all in the family. And it will stay in the
family. I'll never marry. So my money will go to Alexandra and
Leo. They may even marry some day..." (p. 150). The plot that the
children should marry — pretty close to incest, since they are
first cousins and raised together, is a clear manifestation of
the Hubbards' greed.

Individualism in the family is bred by the survival

instinct. The Hubbars know that the best lands had been drawn into a relatively few large units. They are lucky to have one of them. Marcus is the paterfamilias. He bosses his sons: "Benjamin! Rope Oscar and bring him out here immediately. I told fifteen years ago you were damn fools to let Klansmen ride around, carrying guns —" (p. 336), "Give the money to Colonel Isham, Benjamin. Go away, Oscar" (p. 337). He bosses his wife and servants: "Coralee. I'll be right down. Lavinia, send everybody else to the dining room for breakfast" (p. 335), "Jake, take the boxes in. And put Mr. Benjamin's valise out of your hand" (p. 334). He bosses his enemies as, for example, when he wants to get rid of them: "Good day, Colonel" (p. 337), and he bosses his "friends" — Marcus says to Penniman and Jugger: "The Mozart was carelessly performed. The carriage is waiting to take you to the station. Good night." (p. 374). And Marcus even bosses Regina whom he loves most: "Come in to supper, Regina" (p. 368). And later on: "You're lying to me about something. That hurts me. Tell me why you were talking to that man, why he called you honey —" (p. 370). Marcus' will in family matters stands as law, and it is also law in the region, since any governmental power is weak. He is strong enough to pay off Isham to placate the anger of the mob and to save Oscar from a lynching. Marcus can buy off the local people in a quiet display of self-centered power. He can also engage in a conspicuous display of consumption. The family gets whatever it wants and if, as often, the luxury will not be bought in the South, it must be imported from the North. Regina's elegant clothes all come from an idealized and far away Chicago. Good fortune freed the Hubbards from an apparent dependence on their neighbors, but brought, as a consequence, the worse problem of loneliness. Regina, the strongest character in these plays, admits that she married Horace because

she felt lonely:

> *Horace. I was in love with you. But why did*
> *you marry me?*
> *Regina. I was lonely when I was young.*
> *Horace. You were lonely? (p. 188).*

As earlier she had said to Marcus: "Course I don't know anything about business, Papa, but could I say something, please? I've been kind of lonely here with nobody nice having much to do with us. I'd sort of like to know people of my own age, a girl my own age, I mean." (p. 349). The irony here is that it is John, not Birdie, she is interested in, but still it is company and love she is looking for.

Regina has the best head for business. She is the most cunning, ambitious and pushy one in the family. She argues, she persuades, she trades, she bargains and forces the whole group to obey her slightest order, to satisfy her most intrincate desire. She is always aware of her strength, as we can note in her answer to Oscar's remark that she is "talking very big" (p. 149): "Am I? Well, you should know me well enough to know that I wouldn't be asking for things I didn't think I could get" (p. 149). Her manner is plain, but like Marcus', her aspirations soar. She wants to be high class. When John Bagtry tells her that he likes his cousin and aunt and that "they don't go around raising their voices in anger on an early Sunday day" (p. 330) as Regina does, she promptly replies: "I don't want you to tell me about the differences in your family and mine" (p. 330).

Regina accepts what pleases her and rejects what does not. She is able to escape all kinds of material needs, but she cannot

escape herself and so resents her awareness of being counted
within the often immoral, vulgar and ignorant class of the newly-
rich. In her fancy dreams she overestimates the aristocrat
typified by John Bagtry and yet despises her husband. She is also
romantic and practical. Her practicality comes from her need as a
Southerner in the Reconstruction to compete against the "damn
Yankees" and prosper. Her romanticism is an intuitive faculty, a
basic wish to expand her emotions, to reach for the unattainable.
It comes from the Southern dream for romance.

As Ben, Oscar, Leo and Regina grow stronger in their
determinations to be powerful, Marcus grows mellow in age. He
feels the necessity to enjoy his acquired fortune and position, to
soften his tensions — to play the aristocrat. He chooses to spend
his leisure time in the company of musicians such as Penniman and
Jugger. They flatter him by praising his second-rate musical
compositions in order to milk him for money, to eat his food and
drink his liquor. Penniman looks at the score and says: "Very
interesting. Harmonically fresh, eh, Mr. Benjamin?" (p. 353), "I
would say this: It is done as the Greeks might have imposed the
violin upon the lute. (Hums) Right here. Close to Buxtehude —
(Inspiration) Or, the Netherland Contrapuntalists. Excellent" (p.
355), "I like it very much. And if you would allow us, I would
like to introduce it in Mobile during the season. Play it first
at the school, say, then, possibly —" (p. 355). Marcus wants to
believe them, so would not dare challenge them, or they might
call his bluff. Instead, he attacks Laurette:

> *Marcus. Sincee's uncle played Mozart on a*
> *little drum. Have you ever heard of*
> *that, Miss Bagtry?*

> *Birdie. Oh. Well, I haven't, but I'm sure*
> *there must be such an arrangement.*
> *Marcus. That's very kind of you, to be so*
> *sure (p. 365).*

But later on the truth comes out when Jugger, angry at Marcus'
observation that he has performed his Mozart carelessly, replies:
" 'Carelessly performed'. What do you know about music? Nothing,
and we're just here to pretend you do" (p. 374). Marcus' claim
to an aristocratic way of life is only superficially successful.
He wants to believe that in acquiring riches he has somehow
automatically become a gentleman, but often his coarseness shows
through his fancy clothes. Underneath he feels inadequate. His
manners lack subtlety, finesse and decorum and, typically *nouveau*
riche, he throws his money around, for example, when he gives
Isham a large sum for Taylor's medical treatment:

> *Isham. There is no need for so much. A*
> *hundred would be more proper.*
> *Marcus. Good day, Colonel (p. 337).*

Another member of the Hubbard family, but one different
from the rest, is Lavinia, Marcus' wife. She has a double
function in the play. As she is the planter's wife she is a
simple, fragile woman, tired from the weight of her work and
responsibility over the years. She also fits the Southern fanatic
religious pattern. She feels guilty about keeping her husband's
crimes quiet. Her guilt, as sometimes happens, grows into an
emotional and passionate faith, which leads her close to
insanity. She says to her son Benjamin: "I think, now, I should

have told the truth that night. But you don't always know to do
things when they're happening. It's not easy to send your own
husband into a hanging rope" (p. 382). Lavinia's god is
antropomorphic, a capricious master, a personal god, who talks
to her in her dreams: "I spoke with God this night, in prayer.
He said I should go no matter. Strait are the gates, He said.
Narrow is the way, Lavinia, He said —" (p. 382). And, "I told
God about that last night, and God's message said, 'Go, Lavinia,
even if you have to tell the awful truth. If there is no other
way, tell the truth" (p. 392). And so she did. Lavinia listens to
her god, her troubled conscience, her super-ego, through the voice
of his minister. She says: "You know I got my correspondence with
the Reverend. He wants me to come and I got my mission and my
carfare. In his last letter, the Reverend said if I was coming I
should come, or should write him and say I couldn't ever come" (p.
351).

Lavinia's simplicity, ignorance and naïveté, in the face of
her hardships and sufferings, lead her into a strong feeling of
guilt and a psychological need to make amends for both hers and
Marcus' sins through good deeds. She had already repented and
confessed, but would still have to suffer her penitence to achieve
absolution. Her imagined penitence would be to go to Altaloosa
for her poor colored children, to offer them money, education and
love. Lavinia's psycho-religious conflict represents the feeling
of guilt that the white Southerner bears when he has to face the
problem of slavery and of injustice towards the black man.

I have so far analysed the relationship between the
aristocratic Southerner/the negro servant/the newly-rich and the
South. The outsiders in the Hubbard Plays are Horace and Alexandra.
Horace becomes infected by the family hatred. He tries to take

revenge and punish Regina for her coldness and greed. She tells
him: "I see you are punishing me. But I won't let you punish me"
(p. 187). But Alexandra is pure, uncorrupted, and proves to be
strong. She observes, judges and decides. Alexandra is the new
generation. She stands for a new historical cycle. Her reaction
to the family hatred is to return to the former aristocratic
decorum and honor. Regina notices it and says: "You've been around
Birdie so much you're getting just like her" (p. 198). Alexandra
does not seem to resent it: "Funny. That's what Aund Birdie said
today" (p. 198). Alexandra is close to Birdie, the aristocrat, as
she is to Addie, the negro servant: "Addie said there were people
who ate the earth and other people who stood around and watched
them do it. And just now Uncle Ben said the same thing. Really he
said the same thing. (Tensely) Well, tell him for me, Mama, I'm
not going to stand around and watch you do it. I'll be fighting
as hard as he'll be fighting (Rises) some place else" (p. 199).
Though no heroine, Alexandra is the new hope, a symbolic revival
of the Old South.

As for the real villain of the Hubbard Plays, Lillian
Hellman makes him not a Southern plantation master at all, but a
greedy Northerner desguised in gentility and class. Each Hubbard
sees him in a different way. He enchants Birdie with his elegance
and charm: "Mr. Marshall is such a polite man with his manners
and very educated and cultured" (p. 136). Regina sees him as a
promise of status and wealth: "And there, Birdie, goes the man
who has opened the door to our future" (p. 143). Ben parallels
him with money and progress: "Well, when he lifted his glass to
drink, I closed my eyes and saw the bricks going into place" (p.
144). Oscar dreams of "The pleasure of seeing the bricks grow"
(p. 145). But this latter-day carpetbagger is recognized by Ben

for what he is: "Money isn't all" (p. 141), says Ben, to which Mr. Marshall retorts: "Really? Well, I always thought it was a great deal" (p. 141). Later he says to the same Ben: "Well, however grand your reasons are, mine are simple: I want to make money and I believe I'll make it on you" (p. 142). It is the Hubbard family that struggles unscrupulously against its neighbors, against itself, to gain yet more, to increase its investment, but it is Mr. Marshall who brings truly predatory capitalism from Chicago. It is this evil which Miss Hellman so strongly attacks in the Hubbard Plays.

The need of geographical movement, found in all Miss Hellman's dramatic work, but more so in the Hubbard Plays, stands for the simplest as well as the most primitive form of escape. The characters long for what is far away (either in place or time or both), but their dreams are seldom if ever fulfilled. No one seems satisfied with what he has, what he means or where he is: Regina wants to escape from family and home to the impersonality of the big city, from the provinciality of Bowden to the commerciality of Chicago, and while she waits to carry out her plans she tried to bring Chicago to her by ordering her expensive clothes from there. John and Birdie, Regina's aristocratic neighbors, carry an even stronger and more uneasy sensation of inadequacy for their roles — a social dissatisfaction — since they long to escape from both the place and the time they live in. John wants to leave Bowden in search of a war, any war — in Brazil or at any place where he might demonstrate his chivalric prowess. As a nostalgic Southerner he values the notions of violence and "honor." Birdie wants to go back to the old Lionnet, where she was born — a land of plenty and "perfection" and a symbol of the static, conservative, unchanging Southern society

of her parents. Oscar, less worried about power, honor and land,
but led by his sexual libido, plans to elope to New Orleans with
Laurette. Leo, Oscar's son, is part of a process of social and
moral degeneration. He inherits his father's acute sexual desires
and no strength to sublimate them. The small town of Bowden is
too provincial for him and so he "must go to Mobile for the...
very elegant wordly ladies" (p. 137). Lavinia, in turn, to
compensate for her omissions and sinful deeds, escapes into the
half-insane and mystic world of her antropomorphic god and
imposes upon herself the penitence of going "As far as Altaloosa"
(p. 381) to provide for her poor colored children.

In her Mood Plays (the last series Miss Hellman wrote and
also the most mature of her dramatic work) as well as her Political
Plays (which chronologically precede it) Miss Hellman gradually
changes her approach to the escape theme. Her characters become
less worried about actually moving from place to place in search
of ideality and attack their unsatisfactory reality by means of
either psychological or physical violence.

But ironically she only states a formal answer to her
thematic question in that grand flop written in collaboration with
others, the musical *Candide* (1956). Lillian Hellman's *Candide*,
like Voltaire's, tells the story of an incredibly naïve young man
who moves from place to place in search of perfect love, purity,
wisdom, harmony and happiness. The whole action is that of escape.
"I'm homesick for everywhere but here" (p. 655). Candide's escape,
as opposed to those escapes found in Miss Hellman's Hubbard Plays,
is throughly fulfilled. The last song of the musical contains the
thematic answer so laboriously sought after — that each one must
face his own reality, must make his own garden grow.

NOTES

[1] Lillian Hellman, *Another Part of the Forest*, in her *The Collected Plays* (Boston: Little, Brown and Company, 1971), p. 329.
All the quotations from Miss Hellman's plays are taken from this edition. Subsequent references are cited parenthetically in the text.

[2] Lillian Hellman, *An Unfinished Woman* (Boston: Bantam, 1974), p. 206.

[3] W.J. Cash, *The Mind of the South* (New York: Vintage, 1941), p. 23.

THE QUEST FOR TRUTH IN ROBERT PENN WARREN'S
All the King's Men

Julio Jeha - UFMG

History is a crossing of paths, and when the intersection is located in the South, it is worth a story. Penn Warren's novel shows the self trying to step off the beaten track onto his own route[1]. The Southerner's route forcibly stretches across the plains of their history, through the jungle of their minds, to reach a clearing where they can find a place they belong.

All the King's Men presents the Southerners in a continuous process of death and rebirth, of old selves giving place to new ones perpetually searching for wisdom. The Southerners are the new phoenixes, burning themselves to ashes on a pyre, and rising youthfully to a new life[2].

The search may be represented by Jack Burden, the central character. His name, Burden, means either encumbrance, that caused by the South's sins, or theme, that of the quest for truth and identity. Jack is a modern Oedipus in his quest to know himself. Travelling toward illumination he meets not only Greek mythological figures, but also Christian, Irish, Norse, and Anglo-Saxon mythic characters, embodied in the people he runs into. They are a means to convey one of the Southern myths, the presence of the past in the present.

Jack Burden's similarity to the Theban king begins with his birth. Mr. Burden leaves home when he knows Mrs. Burden is expecting the son of another man. Thus Jack is brought up by a

mother he cannot love and far from a supposed father he cannot respect. In a sense, his "father" was killed by his birth, and like Oedipus's,Jack's feeling for his mother is negative. While the former's love is exaggerated, the latter's is insufficient.

First excursion into the past:

Oedipus's first attempt to discover his origin is a consultation of the Delphic oracle. Upon the answer that he will kill his father and marry his mother, he flees to escape an outrageous perspective. Likewise, Jack Burden retreats into American history to avoid a menacing reality. He had "stepped through the thin, crackly crust of the present, and felt the first pull of the quicksand" grab his ankle (p. 299).

Jack's first excursion into the past led to the story of an ancestor, Cass Mastern. A story of sin and expiation, of death and rebirth, it is the academic version of the South's story.

Gilbert Mastern, Cass' elderly brother, had lost his fortune in the Civil War, but a few years later he had another, greater than the first. Gilbert was able to cope with the new reality, to live "out of one world into another" (p. 162). He was like the Viking warrior, slain in combat and led to Valhala, where he was tended by the Valkiries. Although the Negro slaves were not exactly Odin's daughters, Gilbert's house was named after the Norse paradise.

Cass Mastern was brought up by Gilbert at Valhala and was given a plantation, out of which he should earn his living. Once, on a business trip, Cass met Anabelle Trice, who introduced him

to pleasure and "darkness and trouble" (p. 164). She is like Venus
Cyprian, the goddess of carnal love. Penn Warren draws a parallel,
using references to mythology, some direct, others more subtle.
Verses written by Virgil, the Mantuan poet, are employed to
describe her countenance. To light the candles, she strikes a
match called lucifer. This name means 'bearing light', and is one
of the attributes of Venus, the Morning Star. It is also the fallen
archangel that became the Devil. The use of this word may be a pun
to foreshadow the fall of Cass Mastern.

As their amour continues, it is shrouded by a cloud of
darkness, "as Venus once shrouded Aeneas in a cloud so that he
passed unspied among men to approach the city of Dido" (p. 170).
But the clouds may be dispersed by the sun rays, and truth may be
uncovered. At the funeral of Duncan Trice, the wronged suicidal
husband, the sun was hot upon Anabelle and Cass, and could be
felt through their clothes. "It was preternaturally bright," said
Cass, "so that I was blinded by it..." (p. 172). It was an omen
of the final exposure brought about by a waiting maid, Phebe.
She was "given to the fits and sulls," much the same as a
pythoness, the prophetic priestess of Apollo. Phebe, the 'bright
moon', is one attribute of Artemis, the twin sister of Apollo,
the god of light, sun, and truth. So it is the maid, gold coloured,
that unmasks the illicit affair:

> ... she opened up the fingers — and there
> lay the ring on the palm of her hand — and
> I knew it was his ring but all I thought
> was, it is gold and it is lying in a gold
> hand. ... Then I looked up and she was
> still staring at me, and her eyes were

gold, too, and bright and hard like gold.
And I knew that she knew! (p. 175)

Fear and remorse made Anabelle sell Phebe down the river,
and give all the money to a blind negro. As Cass hears his mistress
account delivered in a "wild sibilance," he becomes aware of his
guilt:

> *... all of these things — the death of my*
> *friend, the betrayal of Phebe, the*
> *suffering and rage and great change of the*
> *woman I had loved — all had come from my*
> *single act of sin and perfidy... (p.178)*

Cass then travels after Phebe to free her and clear his
conscience. Although he never sees the golden maid again, he meets
another pythoness, named after Apollo's oracle, in a slave
auction. It is Delphi, with "deep dark liquid eyes, slightly
bloodshot, which stared at a spot... as though in a trance"
(pp. 179-80).
    Cass perceives that:

> *... the world is all of one piece... like*
> *an enormous spider web and if you touch it,*
> *however lightly, at any point, the vibration*
> *ripples to the remotest perimeter and the*
> *drowsy spider feels the tingle and is*
> *drowsy no more but springs out to fling*
> *the gossamer coils about you who have*
> *touched the web and then inject the black,*

numbing poison under your hide. (pp. 188-89)

As Cirlot points out, "the spider sitting in its web is a symbol of the centre of the world, and is hence regarded in India as Maya, the eternal weaver of the web of illusion."[3] Cass was able to perceive the web and understand the primordial unity of the universe. In Nietzschean terms, the Dionysian tore the Apollinian and Cass was one with the world.

The spider, with its ceaseless weaving and killing, also represents the alternation of forces that give the universe its stability. Thus, the spider symbolizes "that 'continuous sacrifice' which is the means of man's continual transmutation throughout the course of his life."[4] In that way, from Cass' spiritual death (sin) a new self was born.

Now, why was Cass Masterns' story included in the novel? It is a narrative technique called 'mise en abyme', i.e., the whole novel (Jack Burden's story) is represented by a smaller tale (Cass Mastern's story), whose purpose is to create a distancing effect. Penn Warren inverts these ideas of a microcosm representing a macrocosm by making Cass' story that of the whole South. Therefore, the South's story is "smaller" or less important than that of the individual Jack Burden's. This means that the self's quest must be placed above and beyond the single historic moment.

The 'mise en abyme' effect conveys the approach Jack Burden had to history: a story in a story in a story. Unlike Cass, he could not see that everything has a right place to fit in:

> *... to him the world then was simply an*
> *accumulation (sic) of items, odds and*
> *ends of things like the broken and*
> *misused and dust-shrouded things gathered*
> *in a garret. (p. 189)*

This shattered worldview made him wish to "return to the
womb" and sleep the Great Sleep:

> *You don't dream in that kind of sleep, but*
> *you are aware of it every minute you are*
> *asleep, as though you were having a long*
> *dream of sleep itself, and in that dream*
> *you were dreaming of sleep, sleeping and*
> *dreaming of sleep infinitely inward into*
> *the center. (p. 100).*

What Jack's intellectual side cannot perceive his instinctive
side can: he needs to go inward, toward himself to a find a
solution. After a period of lethargic gestation, he walked out of
his womb-like room into the world.

Second excursion into the past

After inadvertently killing his father, Oedipus goes on
his way and meets the Sphinx, a mixture of woman and animal that
gives him a riddle. When he gives the right answer, the Sphinx
kills herself and Oedipus is crowned king of Thebes and is given
his own mother in marriage.

Jack's Sphinx was not as lethal as the original one. She was Lois, "a kind of mystic combination of filet mignon and a Georgia peach" (p. 303). When she saw that Lois was no longer a love-machine but "a greedy, avid, delicious quagmire which would swallow up the lost, benighted traveler with a last, tired, liquid, contented sigh," he plunged into the Great Sleep (p. 304). And out of his marriage, he went into the world.

Like Oedipus who sent for a living person, Tiresias, to know the truth, Jack Burden decides to learn it from the living beings. Instead of sending for answers, he went himself, following Highway 58, into Mason City. There he met Governor Willie Stark and his people: Lucy, his wife; Tom, his son; Tini Duffy, Sugar-Boy, and Sadie, his aids. And Jack also met some of his old friends from Burden's Landing: Anne and Adam Stanton, Ellis Burden, Judge Irwin, and Mrs. Burden, his mother, with her temporary husbands.

These people form the web Jack ought to tread on, as carefully as possible so as not to wake the spider that lies in ambush. The problem is he cannot perceive how all destinies are interwoven in a net and how the individual is impotent, by his own efforts (suicide included), to escape from being entangled and devoured by the universal spider.

Jack's fragmentary perception of the world is illustrated by his cataloguing people. They are the Scholarly Attorney, the Friend of His Youth, the Young Executive, the Count, the Upright Judge, the Sophomore Thunderbolt, Old-Man Stark, Old-Leather Face, and himself, the Student of History.

The idea of History being an intertwinement of phenomena is exemplified by the mélange of multiracial mythologies that are

referred to. Of course, this is also a token for the conception
of recurring past, but as the myths merge to form a single
pattern, it is the concept of fusion that matters.

From Greek mythology Penn Warren took the following gods
and applied them to his characters:

Apollo, the god of sun, light, and truth is Adam Stanton,
always looking straight at who is before him. A great healer and
doctor, Apollo begot Aesculapius, the father of Medicine. Adam is
a most skillful surgeon, whom everybody consults when in need.
Every time Dr. Stanton wants to ease his spirits, he plays the
piano and makes it sound as if Apollo, the god of Music, inspired
him.

Adam's sister, Anne, is liked to Artemis, the twin sister
of Apollo. Artemis is the virgin goddess of the moon that takes
pleasure in hunting and running through the pine forests. Anne
Stanton is just the same, athletic, mannish by day and romantic
when the moon is shining. To every proposal Jack makes her, Anne
answers that she loves him but does not consent to marriage.
Another aspect common to Artemis and Anne is that both protect
little children: the goddess assures a successful birth and the
Southern maid houses orphans.

It is interesting to notice that Phebe, the golden wench
that appeared in Cass Masterns' episode, is the name of the
Titaness of the Moon and an ancestor of both Apollo and Artemis.

Sadie Burke is Athena Gorgopis, the negative aspect of the
warrior goddess. Gorgopis means 'Gorgon-faced', an epithet that
comes from the fact that Athena's shield is engraved with the face
of Medusa, one of the Gorgons. Sadie is just the same, "with her
black chapped-off hair wild and her face like a riddled plaster-

of-Paris mask of Medusa" (p. 266).

Another goddess in the novel is Hestia, the protectress of the heart that never takes part in wars or disputes. Hestia's southern counterpart is Lucy Stark, the faithful wife that lives in a country house and helps Willie keep his image of honourable man.

Artemis, Athena, and Hestia always resisted the offers of the gods, Titans, and mortal men; Aphrodite, the goddess of love, had no power over them. Interesting enough, Anne, Sadie, and Lucy fell for the same man, Willie Stark. This weakness and fall shows that other values are taking charge of the mythos.

These new values come from the Arthurian cycle of legends and myths. Sometimes the Arthurian characters mix with the Greek ones to emphasize the idea of death and rebirth, of old values being replaced, and of the interaction of lives.

Willie Stark, the Boss in Mason City, is like King Arthur in Camelot: both understand that the ends justify the means and that from evil can spring good. Willie senses that his sins have caused the state of suspended life of his son and therefore he needs redemption. Like the legendary Fisher King, whose sins caused the ruin of everything around him, Willie's spiritual death may be overcome by a mystic object. For the Fisher King it is the Holy Grail, whereas for Willie it is the Hospital. In search of the Grail went all the King's men, among them Sir Galahad, the best of the knights. But Galahad failed because he was not pure in his heart. In the same way, Adam Stanton, the best doctor, is the director of the Hospital, but his inability to understand that everything is "not good or bad but good or bad"

at the same time, destroyed him (p. 248).

The Merlin figure in Mason City is Jack Burden, the one who always finds a flaw in everybody's past. The information Jack gives Willie Stark is as efficiently destructive as the magic sword Excalibur, which Merlin gave King Arthur.

As in all quests there is an evildoer. In the Saxon king's it was Morgan le Fay, his half-sister that conspired with their son Mordred to kill him. Willie's Morgana is Sadie Burke, who, although a former ally, cannot stand being "two-timed" and, together with Tiny Duffy, causes the Boss' death.

These mythological associations prove that even the legendary gods and heroes can be found fault with. In fact, they were made in man's image.

As he finds out that his beloved Anne was having an affair with Willie Stark, Jack fled westward to find illumination. He follows the path of the sun and undergoes a mystical death, to be reborn and give continuity to the cycle of life.

According to the previous pattern, Burden lies down and sleeps the Great Sleep. As he wakes up everything is clear again: the sun shines and darkness is gone. It is time to go back and face the world with its Willies and Annes.

On his way back, Jack approaches a man with a twitch on his face, independently moving, "like a dead frog's leg in the experiment when the electric current goes through" (p. 310). Jack then realizes that one's life must be like that twitch, complete in itself, "an independent phenomenon, unrelated to the face or to what was behind the face or to anything in the whole tissue of phenomena which is the world we are lost in" (p. 313). What

is implicit in Jack's words is that one should look for his
individuation, keeping in mind that each deed omitted or comitted
causes a ripple on the world's web. Therefore, the knowledge of
the self is not in the knowledge of the self of another. "Know
thyself" is the answer to The Riddle.

Third excursion into the past

Oedipus' preoccupation with the Riddle led to his killing
Laius and marrying Jocasta. When Oedipus eventually unveils the
truth, his mother commits suicide and he blinds himself. Notwith-
standing, his strength is affirmed: no god will prevail over
Oedipus.

Much the same, Jack Burden leads Judge Irwin to commit
suicide only to find out that he was his real father. It is
bitterly ironic that Jack's searches for material truth should
provoke the death of a father he could respect and, at the same
time, should cause the rebirth of his true self. But the real
assurance of Jack Burden's might happened when he met Sugar-Boy
and told him who the Boss' murderer was. Had Jack confirmed this
information, Willie Stark's former bodyguard would have killed
Tiny Duffy in a matter of hours. Sugar-Boy was once described as
"an undernourished leprechaun," i.e., an elf of Irish folklore
who would hand over a treasure if caught. When Jack reveals the
truth to Sugar-Boy, the leprechaun is in Jack's hands and
delivers a treasure to him. Jack Burden is like a god: he has
the power over a man's life and death. Then be becomes more than

a god: he decides to be a man.

He understands that truth must be sometimes withheld for the sake of human dignity. Had he confirmed his revelation, Jack would have been equated with the very corruption he repudiated.

Unlike Oedipus who reveals his crime and causes Jocasta's death, Jack Burden lies to his mother about Judge Irwin's sin:

> I had given my mother a present, which was a lie. But in return she had given me a present, too, which was a truth. She gave me a new picture of herself, and that meant, in the end, a new picture of the world. Or rather, that new picture of herself filled in the blank space which was perhaps the center of the new picture of the world which had been given me by many people, by Sadie Burke, Lucy Stark, Sugar-Boy, Adam Stanton. And that meant that my mother gave me back the past, I could now accept the past which I had before felt tainted and horrible. I could accept her and be at peace with her and myself. (p. 432).

Robert Penn Warren quotes Dante's *La Divina Commedia* to profess his faith in mankind: "Mentre che la speranza ha fior del verde."[5] It is very significant that Penn Warren should have chosen this quotation from a book about the hero's descent to hell and ascent to heaven to open *All the King's Men*. This novel depicts man in his continual sacrifice until he understands that "one can only know oneself in God and in His great eye" (p. 173). The motif of the eye, along with that of rebirth, permeates the

text and is loaded with symbols, of which the most important is
the relation of seeing and enlightenment. It should be remembered,
nonetheless, that in Egypt the eye is the maternal bosom and the
pupil its child. Thus, the solar hero in quest for light becomes
a child again and seeks renovation at his mother's bosom.

Jack Burden's reconciliation with his mother, with the
world, and with himself, illuminates the human condition and
asserts that while hope flourishes man will prevail.

NOTES

[1] Robert Penn Warren, *All the King's Men* (New York: Bantam, 1974).

[2] *Webster's New Collegiate Dictionary* (Springfield, Ma: Merriam-
Webster, 1979).

[3] J.E. Cirlot, *A dictionary of symbols*, trans. Jack Sage, 2nd. ed.
(London: Routlege & Kegan Paul, 1971), p. 304.

[4] Cirlot, p. 304.

[5] My translation: "While hope flourishes."

All knowledge that is worth
anything is paid for by blood...
But the end of man is knowledge,
for knowledge is power.

   Robert Penn Warren

All the King's Men AND THE SOUTHERN RENAISSANCE

Maria Lúcia Barbosa de Vasconcellos

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It is the purpose of this paper to analyse Robert Penn
Warren's *All the King's Men*, as representative of the Southern
Renaissance[1]. The Southern myth, which pervades Warren's writing,
is a rich source for manifold and highly important considerations,
as the recurrence of regional and mythical elements in his novel
enable him to deal with the specific and the universal simultaneously.
This paper will focus, however, on a single specific aspect: the
importance of knowledge and its connection with time. By
establishing the   relationship of some of the more important
characters with these two entities, this paper aims at showing how
through the concrete rendering of the characters' realities, Warren
gives to the story the quality of myth. As a Southerner he does not
talk of abstractions, but through a firm hold on reality, he reaches
a more universal realm, the understanding and acceptance of the
life cycle: everything moves towards death, but from death comes
life again. As Jack Burden puts it, "reality is not a function of
the event as event, but of the relationship of that event to past,
and future events" (p. 528). Only by assembling the pieces
of the puzzle to see the pattern, and by overcoming each and
every partial death, can man's reconciliation with the flux of
life be attained, for "Life is Motion toward knowledge" (p. 208).

In order to understand the role played by knowledge in the
novel, let us analyse first the progression of the reader from

ignorance to enlightenment in terms of the plot. In the beginning
of chapter one, the reader is faced with a narrator whose name
he does not know, and with some people piled in a car, on the
road to Mason City: Sugar-Boy, the Boss, Mrs. Stark, Tiny Duffy,
Tom, and the narrator. As the story unfolds, with a mingling of
past and present events, a feeling of loss and disruption takes
hold of the reader. A number of deaths, destructions, references
to the defeat and failure of the South after the Civil War, and to
the "good old days" of the aristocratic culture, bring about a
certain pain whose reality cannot be denied, but which is to be
overcome at the end. Once the reader organizes the facts, he
understands the loss. More than that, his understanding of the
nature and meaning of human existence is increased: from the ashes,
life begins again to complete another cycle.

"There is one thing Man can't know. He can't know whether
knowledge will save or kill him" (p. 14). For some characters in
the novel, knowledge meant death. They could not cope with
reality and were destroyed. One example of this can be found in
Judge Irwin, whom Jack Burden calls the Upright Judge. He stood
for the dignity, honesty and high values of the old aristocratic
South, but his past had not been so glorious and clean after all:
he had got a position in the Belle Fuel Company because of a
bribe. It had been so difficult for him to face his action that
he indulged in self-delusion:

> '*Littlepaugh,*' *he said musingly, and waited.*
> '*You know*', *he said marveling,* '*You know, I*
> *didn't even remember his name*'. *It's like*
> *it hadn't happened. Not to me. Maybe to*

somebody else, but not to me (p. 475).

Judge Irwin had some stain in his "glorious" past. As the image he
had of himself dissolved, he succumbed to the crudity of his
reality. He is, in this sense, the Old South itself: its
rehabilitation was delayed by self-delusion and a paralyzing
obsession with the largely imaginary glories of the past. The stain
of the South was slavery. The awareness of that mark has allowed
no peace for the southerner, and it shows up as a terrible and
unbearable guilt. In many instances in the novel, this guilt
appears in references to the negroes, carrying both personal and
social aspects of such a burden. As Cass Masterns put it, "many
cannot bear the eyes of the negroes upon them" (p. 252).

Adam Stanton is another character in the novel for whom
knowledge meant death. He is an idealistic doctor, defender of a
utopic old order that rested on the pillars of truth, courtesy
and good breeding. He who wants everything clean and aseptic
cannot bear to know that his father, the respectable and stainless
Governor Stanton, had protected Judge Irwin, covering up his
felony. It is even more difficult for him to learn that his own
sister, Anne, has been having an affair with Willie Stark. That,
for him, means corruption and a complete collapse of his values
and his world.

In order to understand the effect of knowledge upon Adam,
it is important to contrast him with Willie Stark. Whereas Adam
stands for the Old South, Willie Starks stands for the New South,
Adam is highly intellectualized, disciplined, out off from present
life, unable to cope with a highly competitive and commercial

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society. Willie is pragmatic, a man of action who knows everything.
He is fully aware of the sordid games played by the machine of
power and the system. But the use he makes of this knowledge is
inadeouate: he gets involved in corruption. Just as the Old South
does not belong, the new attitude reflected in Willie Stark does
not present the solution for the South, either. Between the two
there is a profound gap. "Each of them was incomplete, carrying
the terrible division of their age" (p. 599). They try, though
unconsciously, a kind of reconciliation through the hospital: the
money and power of the New South, plus the knowledge and tradition
of the Old South. But this attempt does not work out. They want
the hospital built for different reasons which can never be
reconciled. It is no wonder, then, that their final clash, which
has been gradually built up, brings about their mutual destruction.

> *He had seen his two friends, Willie Stark
> and Adam Stanton, live and die. Each had
> killed the other. Each had been the doom
> of the other (...) They were doomed to
> destroy each other, just as each was
> doomed to try to use the other and to
> yearn toward and try to become the
> other.*[10]

"It might have been all different," Willie Stark says, but
is was not"(p. 556).

In Jack Burden we will find knowledge not killing, but
saving. Yet, pain, suffering, and the sense of loss implicit in
the act of knowing, can be felt throughout his story. Knowledge

is achieved at the expense of loss. Although knowledge is the end
of man, it is terrible and tremendously painful. Jack's struggle
towards knowledge and his quest for the Self are the struggle of
the South. His losses are the losses of the South and the hope
which lies in him is the hope of the South.

In the first phase of his quest, Jack is afraid of
knowledge, but the desire to know haunts him as a force gnawing at
his bowels. Interestingly enough, he is a graduate student in
history. And what is history but a plunging into past events to
understand the patterns of the present? He has the letters of Cass
Mastern in his shabby apartment, where he broods over them
without knowing that they are related to his condition. Jack is
the ironic idealist, who assigns individuals to categories: the
Scholarly Attorney (Ellis Burden), the Young Executive (his mother's
husband), the Sophomore Thunderbolt (Tom Stark), the friend of His
Youth (Adam Stanton), and he himself the Student of History. Jack
tries, with false detachment, to represent life to himself. He
makes an attempt at compartmentalizing people and events. By doing
so, he unconsciously defends himself from seeing any relationship
between them. He still cannot know truth. He abandons his PhD.
dissertation and each time he is on the verge of being confronted
with himself, he is dominated by what he ironically calls "The
Great Sleep":

> That was the way it was for a while after I
> didn't have any job. It wasn't new. It had
> been like that before, twice before. I had
> even given it a name — The Great Sleep (p. 145).

It had happened the time before he quit the University, the time
before he left his first wife Lois, and it had happened again
when he learned that Anne Stanton was having an affair with Willie
Stark. In every instance, The Great Sleep represents his fear of
enquiring any further.

The impulse which drives him, however, is stronger than
his fear. Through his three excursions into the past, Jack is
slowly prepared for a broader understanding: he dives deeply into
history, when, after Judge Irwin's suicide, he learns, through
his mother, that the Judge is his real father. Slowly and
painfully Jack builds up his own identity, and reconstructs his
self. In his journey toward illumination, he loses the comfort of
ignorance and loses friends. But he gains a profound realization
and acceptance of his past. More important than that, he makes
peace with himself:

> And *that meant that my mother gave me back*
> *the past. I could now accept the past*
> *which I had before felt was tainted and*
> *horrible. I could accept the past now*
> *because I could accept her and be at*
> *peace with her and with myself* (p. 459).

Jack freed himself from the tyranny of his past by dealing
with it in realistic terms. The truth gave his past back to him,
and through it he acquired a clear consciousness of history and
Self. Just as his reconciliation with himself and life were found
in his past, any solution to the deep-rooted complex of Southern
problems must come from within the South itself and from within

its own history.

The understanding of one's dimension and, beyond that, of
the meaning of Life, is intimately interwoven with the
understanding of the meaning of time. Time is an absolute entity.
No act, no thought is isolated. Past, present, and future are
mingled: "All times are one time" (p. 313). This has always been
an obsession for the Southerner. Trapped in the past, he could
not cope with the present and could not even dwell on the subject
of his future. Jack Burden's progression from ignorance to
enlightenment is ultimately an understanding of time:

> *... if you could not accept the past and
> its burden there was no future, for
> without one there cannot be the other,
> and if you could accept the past you
> might hope for the future, for only
> out of the past can you make the
> future* (p. 598).

In the end of the novel, the mood is that of serenity,
harmony, quiet and peace: Jack is now living in his father's
house, with his wife, Anne Stanton, and Ellis Burden, the man
who was once married to his mother. He is writing the book he
has begun years before, the life of Cass Mastern. Their past
troubles their life no longer. Jack is free. His writing the
book is his final act of reconciliation. Now he is ready to "go
into the convulsion of the world, ready to enter the flux of
life" (p. 602). Now he belongs. His rebirth carries the theme of
the cycle of Life. And beyond that it carries the hope that, in

spite of all cleavages, disharmonies, animosities and antagonisms, there is a possibility of integration for human beings.

NOTE

[1] Robert Penn Warren, *All the King's Men* (New York: Time Inc. Book Division, 1964). All subsequent quotations are taken from this edition.

WILLIAM GOLDING AND THE NOBEL PRIZE

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Some comments on the bestowal of the 1983 Nobel Prize of Literature on William Golding seem to warrant the conclusion that not even members of such exclusive circles as the Swedish Academy are exempt from petty jealousies. Soon after the announcement of the award, one of the elder members of the Academy, well-known for his tendencies to bias his colleagues in favour of excentric parochial writers, made an unfortunate public remark: the Nobel laurel had been conferred on "a small British phenomenon," "of limited interest." With characteristic restraint, the *Times* of October 9, 1983, quoting the comment, added some information on the speaker's acknowledged taste for bizarre, minor writers and on his connection with another, recently deceased Academy member. Between them, the pair had long been able to sway the balance of power inside the Academy. The situation having been changed by death, the *Times* seemed to imply, the surviving sage had chosen to vent his pique on the latest laureate.

In the USA, *Time Magazine* wasted no time in picking the cue provided by the adverse criticism on Golding. A week and a day later, in the issue of October 17th, an obscure commentator accused the Swedish Academy of "quirkiness" for the choice of the British novelist rather than, for instance, Kobo Abe, Jorge Luiz Borges, Italo Calvino, Nadine Gordimer, Günter Grass or Graham Greene.

We do not intend to compare Golding with any of these

writers. What we do mean to argue is that the attack upon the author of *Darkness Visible* is precariously supported. It starts with a quotation from Golding himself. "An amiable, modest man, he once noted that 'my books have been written out of a kind of delayed adolescence'." The author of the attack on the novelist here seems never to have heard of the intentional fallacy, and easily mixes the writer's irrelevant explanation of his creative powers with sound critical evaluation.

The next charge is based on the popularity of Golding's first novel, *Lord of the Flies* (1954)[1]. The fact that it has become required reading for millions of high school and college students also seems to be resented. The first fault, we may remember, the novel shares with the Bible — one of the greatest best-sellers of all times — and the other, say, with Shakespeare's plays and other classics of world literature, permanently included in college reading lists.

The diatribe next tries to explain away the novel's continuing popularity by its "eminently teachable symbolism" and its "heavily underscored message." If, for the sake of argument, we discuss these claims, it will be easy to recall that no major work escapes attempts at didacticism - witness the number of teach-yourself so-called critical works parasitic on almost every great novel which are to be found in any American bookshop. It would be difficult, indeed, to tell apart the more from the less "teachable."

As for attributing the success of the novel to its alleged "message" ("the inescapable depravity" of man), is it possible that the attacker is now mixing what Ingarden would call the layer of metaphysical qualities of the novel, with its

paraphraseable content? Or that he has never heard of the heresy
of paraphrase? Here paraphrase would Joyce's *Ulysses* to a tedious
account of how an unglamorous middle-aged Irishman goes about the
Dublin streets musing on his shabby life, of Keats's *Ode on a
Grecian Urn* to a trite footnote on the thesis of the superiority
of art to life.

But the worst is still to come. The paraphrase itself, the
claim that Golding's "message" boils down to a series of
reflections on the depravity of man is highly questionable. It
might rather be suggested that Golding's central theme could
tentatively be phrased as that of the tragic flaw which evades
mere mechanical statement of guilt and punishment.

To take *Lord of the Flies* itself: any identification of
the central rival characters as hero and villain, angel and fiend,
would be simplistic. Jack, the "wicked" boy leader, turns the
innocent "fun and games" of children marooned on a desert island
into destructive play. But he himself, in the end (in one of the
turns in perspective familiar to Golding's readers) is seen a
helpless child. On the other hand, Ralph, the "good,"
charismatic leader, and Piggy, his ally, forfeit their role as
angels by taking part in the murder of their friend Simon. The
action belies both the Satan and the Raphael in the characters.
Only a simplistic reading, based on an ingenuous acceptance of the
judgements implicit in some of the "voices" in the novel, could
lead to a different conclusion. The fact that the infinitely
complex web of moral stands is compatible, in *Lord of the Flies*,
with the deceptive simplicity of a fable, only adds to the
interest of the book.

The development of the central theme becomes increasingly

complex in the subsequent novels. It would be difficult wholly to
condemn *homo sapiens*, as he meets and destroys a family of
Neanderthal man in *The Inheritors* (1955)[2]. The sinister outcome
of the meeting is largely due to a misunderstanding: the *homo
sapiens* hunters had taken the ogre-like Neanderthal for dangerous,
cannibalistic monsters. At least partly, *homo sapiens* acts in
putative self-defense. It takes the deeper vision of Tuami, the
artist, to try to conciliate the extremes of love and hate
evoked by the events. The turn in perspective at the end thus
reveals that the condemnation of *homo sapiens* is largely enclosed
in the kindly but severely limited Neanderthal consciousness. To
take this as the total vision suggested by the novel is to fatally
miss the ironic play of countervoices in it, and the corrections
of judgement made necessary by the context as a whole.

The reviewer in *Time* fails to detect the ever more complex
web in *Free Fall* (1959)[3]. The novel addresses not so much the
theme of evil, but that of free will, with hints at the possibility
of salvation. It thus returns to one of the sub-themes in *Pincher
Martin* (1956)[4]. Confronted with the idea of having consistently
"eaten," that is, destroyed all who had crossed his path, Martin,
the drowning sailor, asks the Creator: "Why should you torture
me? If I ate them, who gave me a mouth?" (p. 197). The theme of
guilt and choice is echoed in *The Spire* (1964)[5]. Here, more than
ever, it would be difficult to give the questions raised by the
novel any facile answer. Jocelin, a medieval dean, mistakes
sexual passion for divine longing. By sacrificing several lives,
in order to add an impossible spire to a church lacking the
proper foundations, he is building a phallic symbol, not a
"prayer in stone." This much is clear. Several questions, however,

remain to be answered. Is Jocelin really guilty? Isn't he really
a victim of the repression and narrow-mindedness of his education?
Given a little more luck and light, couldn't he have been the
saint he once took himself for? His self-condemnation is not
supported by Father Adam, the only saintly figure in the novel
who thinks of Jocelin's as "a small sin, as sins go" (p. 190).
Again the novel suggests a tragic error of judgement, rather than
evil or depravity. The "dormitory determinism" Golding is accused
 of is nowhere to be seen, nor is the easy cause-and-effect
relationship that would justify such a label. The problem of evil
and free choice emerges as infinitely intriguing. In the words of
Jocelin it is "a plant with strange flowers and fruit, complex,
twining, engulfing, destroying, strangling, a riot of foliage
and flowers and overripe bursting fruit... There was no tracing
its complications back to the root." (*The Spire*, p. 194). This
passage can be conveniently read as a warning against facile
interpretation of Golding's treatment of the theme of evil — a
warning the reviewer in *Time* would do well to heed.

        What could be readily granted is that Golding's novels,
most apparently the first five, do turn on a central theme. This,
however, could be hardly seen as a flat statement on the
"depravity" of man. It might rather be put as a series of questions
on the mysteries of evil and free will. This in no way detracts
from Golding's achievement. Which great novelist ever failed to aim
at a central core of meaning, pointing to an existential puzzle
which repeatedly defies analysis? One of the roles of art can
reasonably be taken as an attempt to deal with some aspect of
life's great mysteries. We may here quote Merleau-Ponty:

> *The work of a great novelist rests on*
> *two or three philosophical ideas. For*
> *Stendhal, there are the notions of the*
> *Ego and Liberty, for Balzac the mystery*
> *of   history as the appearance of a*
> *meaning in chance events; for Proust,*
> *the way the past is involved in the*
> *present, and the presence of times gone*
> *by. The function of the novelist is not*
> *to state these ideas thematically but to*
> *make them exist for us in the way that*
> *things exist, Stendhal's role is not to*
> *hold forth on subjectivity; it is enough*
> *to make it present.*

Another charge against Golding: his alleged views that "it
is the wickedness in human beings that creates... evil systems"
are "attractive to those who want no responsibility for the state
of the world." This charge ignores Golding's sense of social
responsibility, reflected in the social side of his fiction. There
is a connection between Samuel Mountjoy's opportunism and his
origins as a child of the slums (*Free Fall*). Again, however, no
simple cause and effect relationship can be established. A more
direct criticism of the results of social snobbery is found in
Rites of Passage (1979), where class prejudice is shown to
interfere with moral judgement. One cannot ignore, either, the
hints at the small town cant which ring through *The Pyramid*,
Golding's attempt at a comedy of manners. His moral and mystic
concerns obviously include the social as one of the webs in a
perplexing pattern. The political strand is there as well. The
horrors of Vietnam and of a possible nuclear war loom over *Lord*

of the Flies and *Darkness Visible* (1980). The impact is all the more powerful for completely evading the pamphletarian tone or that of a moral crusade: the appeal is to the imagination, not to the intellect.

This modest apology of Golding's novels needs to be restricted, as it so far has been, to unity of theme, breadth of outlook and relevance of material, which frontally oppose the accusation of "limited interest" levelled against the artist by the member of the Swedish Academy. More than anything else what this and the American attack most unforgivably ignore is that touchstone of literary achievement, the novelist's handling of his medium — language, imagery and symbol — which place Golding's works among the most daring and imaginative of the century. A demonstration of this fact would spread far beyond the scope of this paper. A few illustrations can nevertheless be attempted.

Golding's use of language is indeed remarkable. In this respect, M.A.K. Halliday's article on *The Inheritors*[7] has become a classic. Halliday, a scholar gifted with a rare blend of ingenuity for linguistic analysis and sensitivity to literary values demonstrates Golding's amazingly subtle and consistent use of transitivity in order to convey the Neanderthal point of view.

We would like to briefly study other linguistic markers — all of them basically simple devices, like the blurring of the distinctions/ + animate/ and/ - animate/, /+ human/ and /- human/, or the use of nouns indicating parts of the body where the whole individual would normally be alluded to. These devices contribute to the presentation of the author's personae, of the characters' different voices and to the total polyphonic effect, becoming a hallmark of Golding's style. They are also associated with the

effect of "estrangement," which he often achieves: the presented
world comes out "as if it had never been seen before," forcing
the reader into an effort of interpretation which amounts to the
discovery of a new reality.

The close relationship between the linguistic level,
imagery, symbolism and the fictional context can be illustrated by
reference to any of the novels. We may take, as an example, the
use of what we here call stylistic marker 1 (SM-1) - the blurring
between the categories / + animate/ and /- animate/ -in *Lord of
the Flies*.

The stylistic marker appears in passages describing the
environment in the desert island where a group of boys gets lost
after a plane crash. Verbals indicating actions or qualities
usually attributed only to living beings are predicated of life-
less natural objects like *rock, forest, breeze, fire, tree, root,
sun*. As a consequence, these elements of the natural setting
seem endowed with animal-like force. An important stylistic
choice has been made. The fictional speaker has chosen to present
the physical surroundings, not under the traditional description
of a passive physical background, but as something approaching
the quality of narrative - the narrative of a series of actions
by quasi-living beings. This contributes to an impression of
extraordinary activity in the world of nature. On the other hand,
the actions involved, and the living creatures evoked by them,
are almost invariably destructive. Both facts, extremely important
for the interpretation of the novel, will emerge from the
discussion of a number of examples.

During the boys' first exploratory expedition in the
island, we are told that "the forest stirred, roared, flailed"

(p. 32). Not much later on, as the children try to set up their version of an ordered, democratic, society, we are informed that "the fire growled at them" (p. 50). The verbs *roar* and *growl*, from the examples, deserve attention. Not only are they primarily used of animals, but of those thought of as hostile and/or dangerous. We are being given a first hint that the beautiful tropical surroundings announce something quite different from the Edenic life or the Romantic return to nature that we might have expected from other, idyllic pieces of description also present in the novel, and from allusions to *Coral Island*, the classic of children's literature.

The effect of the SM in the sentences quoted thus depends on the general context, the stored knowledge of the "real" world that we bring to the reading of a novel. We all know that only wild or angry animals really growl and roar, and that we had better beware of them when they make these unfriendly noises. Contextual interaction between SM-1 and the general context begins to warn us that the children are somehow threatened. Strange forces, so far presented as outside them, seem to lurk around. The SM seems to anticipate some fearful action. Later on, when such an action does take place, or even later, when it has led to further tragedy, other instances of SM-1 will support and recapitulate the initial effect. At the same time a new interaction will take place: that between the SM and the fictional context — the communication situation inferred from the text.

The effect of the SM, suggesting the presence of destructive forces in the island, is also supported by the linguistic context. This may happen at vocabulary level. Recalling the idea of violence, the removal by the boys of a rock

barring their way, is once called *an assault*. So also, on the
very first page of the novel, the clearing made by the clashing
plane is called a *scar*. The implication is clear: man's presence
in the island has inflicted a wound upon nature. Attacked, the
natural world hits back, which explains phrases like *the
unfriendly side of the mountain*, used twice (p. 48 and 51).

Support for the rhetorical intent of the SM as conveying
the presence of malevolent forces threatening the boys comes from
the linguistic context also under the form of different comparative
constructions. In the next example, comparison of the movement of
trees with that provoked by the passage of an angry monster makes
the verb *shake* , predicated of *forest* , suggest the trembling of
a living creature in the grips of a terrible fear: "the forest
further down shook as with the passage of an enraged monster"
(p. 30). Similes with *like* , likening "actions" by elements of
nature to those of hostile living beings, play the same role:
"the sun gazed down like an angry eye" (p. 62). So do similes
with *as though*: "The flames, as though they were a kind of wild
life, crept as a jaguar creeps on its belly towards a line of
birch-like saplings" (p. 48). In this quotation, a quasi-simile
brushes shoulders with a comparison introduced by *as*.Both suggest
the similariry between the elements of nature and some violent
wild animal.

Implicit comparisons between natural objects and animals
similarly support the effect of the SM in the linguistic context.
Here is an implicit comparison between *fire* and *horse*: "Couldn't
a fire outrun a galloping horse?" (p. 218). At this stage, plot
— an element from the fictional context — again interacts with
the SM: fire, first meant to be used as a sign calling for

rescue from the "civilized" world, now threatens to burn up the island. There is also the interplay between dialogue and the SM. In one of the examples above, when the creeping of the flames is compared to that of a jaguar (p. 50), Piggy, one of the central characters, has been talking. Besides warning against the danger of the fire, left unattended, he has just noted the disappearance of one of the children. This, in turn, portends further loss of life.

Another aspect of the fictional context — description — further supports the rhetorical intent of the SM, hinting at the existence of occult malevolent forces in the island. This is clearly felt in descriptive passages closely preceding the episode of the ritual dance which culminates in the killing of Simon: "Evening was come, not with calm beauty, but with the threat of violence" (p. 165). "Between the flashes of lightning, the air was dark and terrible" (p. 167). So also descriptive phrases of the type "skull-like coconuts" and "the snake-clasp of his belt" (both on p. 10) call up images of death and evil, of the serpent responsible for the Fall lurking in the Garden.

One of the consequences of the interplay between SM-1 and such descriptive passages is that a number of dead metaphors undergo a kind of "ressurrection." Expressions like "the head of the mountain" (p. 131), the "pink lips of the mouth of the conch" (p. 17), "the silence of the forest" (p. 153), call to mind human-like beings. The mountain recalls a living shape, the conch a creature with pink lips rather than a shell with an opening; the forest becomes a conscious creature voluntarily refraining from making noise. So also, elsewhere, fire and vegetation seem capable of spontaneous movement, like animals.

"Tall swathes of creepers rose for a moment into view, agonized and went down again" (p. 51). "The heart of flame leapt nimbly across the gap between the trees (p. 48). The modifier *dead* and *dying* used of trees on p. 48, may, for similar reasons, evoke the end.of animal, rather than vegetal, life.

The children are evidently surrounded by evil forces. Their association with the elements of nature might suggest that these forces lie outside them, tempting them, like the Serpent in Eden. Accordingly,the smaller children soon begin to whimper that there is a beast somewhere, a snake-like "beastie," which, as the older boys get to accept the idea, gradually becomes a Beast. On the other hand, the repeated allusion to the *scar* in the jungle brought about by man's presence there, suggests otherwise. So do the even more sinister aspects of plot and character, the quick crumbling of the attempt at a semblance of civilized life, the blood-thirsty lust for hunting and killing. As Simon finally puts it, speaking of the Beast: "maybe it's only us" (p. 97). The mystery of evil, inside or outside man,the alternation between the two possibilities which never completely exclude each other will recur again and again in Golding's fiction. Modulated with increasing complexity, it is inextricably connected with Golding's style.

It would be easy to demonstrate the connection between SM-1 and the imagery. Throughout the novels images mixing up the categories / + animate/ and / - animate / are to be found. In *Lord of the Flies* itself there is the image of the lagoon, compared to a "sleeping leviathan," with the movements of the tide resembling the "breathing of a stupendous creature." Recalling

earlier literary periods, the image of the moon as Diana in *Free Fall* helps to present a plastic artist's vision of the world as animate, especially in moments of particular emotional strain. One of them occurs when Samuel Mountjoy and his friend Johnny Spragg go into General Plank's garden — a forbidden place, where wild animals reportedly roam. At that moment, the two children have become what a visual artist's eyes ideally are: two points of perception, wandering in paradise (p. 45). In *The Inheritors*, ice-caves become identified with the temple and bodies of primitive earth-godesses. In *The Spire*, the cathedral behaves like a living, rebellious body, singing with "the noises of all the devils out of hell" (p. 175).

The connection between SM-1 and SM-2 — the blurring of the opposition / human / and / - human/ is also clear. The traits / /animate/ and /human / are obviously associated, one being a subdivision of the   other.

SM-2 can be illustrated by the sentences "the birds talked" and "He / = Martin / was jerking his·tail like a seal and lifting himself forward with his flippers" (*Pincher Martin*, p. 47 and 60). In these examples, birds perform the typically human action of talking, while a man's movements are described like those   of a seal. Animals are treated as humans, humans as animals. One may well take this interchange as a single marker, with a common rhetorical intent. As man falls a prey to evil, he loses his humanity, becomes beast. Conversely, animals or lifeless objects used as heads to verbals requiring humans usually reflect undesirable human qualities. This is not a far cry from the effect of SM-1, already mentioned. SM-1 and SM-2, interacting with each other and with the context, at different levels, point to the

semantic core of the novels, contributing to their stylistic and thematic unity.

Imagery again supports the language used. Again and again — also in the nickname *Piggy* given to one of the central characters — the children are seen as animals — mostly pigs — in *Lord of the Flies* - both as agents and victims of a gory drama. This happens most obviously in the scene where Ralph, trying to escape his tormentors, successively sees himself as a cat, a horse a boar and a pig. Animal imagery also abounds in the other novels. In *The Inheritors*, *homo sapiens* has "teeth that remembered wolf" (p. 174). In *Pincher Martin* , the central character's hands, symbols of his greediness, are repeatedly compared to a gigantic lobster's pair of claws. In *Free Fall* the subservient Beatrice, once seduced by Sammy, watches him with "doggie eyes," "puts the lead" in his hand. In *The Spire* , there of the central characters are likened to animals. Rachel, the master builder's wife, is implicitly compared to a hen, "clacking and circling" around her husband; he, in turn, is repeatedly described as having the clumsy movements of a bear. But the most telling example occurs when Jocelin, the would-be saint, is likened to a snake, the traditional Christian symbol of evil. In each of a multitude of similar examples, a comprehensive image of man as Beast, both as hunter and hunted one, at once instrument and victim of evil, gradually but firmly established itself.

The fitting between style, imagery and theme, which such examples illustrate, coupled to the relevance and imaginative appeal of Golding's novels, apparently contributes to the projection of their author as one of the great verbal artists of our time — one no doubt deserving of the Nobel Prize.

NOTES

[1] William Golding, *Lord of the Flies*, Bungay,(Suffolk: The Chaucer Press, 28th impression, 1981. First published by Faber and Faber Limited, 1954).All quotations refer to this edition, so only pages will be mentioned.

[2] *The Inheritors*,(London: Faber and Faber Ltd., 1955. Sixth impression, 1974).Quotations refer to this edition.

[3] *Free Fall*, (London: Faber and Faber Ltd., 1964. Rpt. 1974). Quotations refer to this edition.

[4] *Pincher Martin* (London: Faber and Faber Ltd., 1956. Sixth impression, 1974). All references are to this edition.

[5] *The Spire* (London: Faber and Faber Ltd., 1964. Rpt. 1974). Quotations refer to this edition.

[6] Maurice Merleau-Ponty, *Sense and Non-Sense*, translated with a Preface by Herbert L. Dreyfus and Patricia Allen Dreyfus (Northwestern University Press, 1964).

[7] M.A.K. Halliday, "Linguistic Function and Literary Style: An Inquiry into the Language of William Golding's 'The Inheritors'," Chatman, Seymour (ed.), *Literary Style: A Symposium* (New York: Oxford University Press, 1971).

WILLIAM GOLDING'S *Pincher Martin*

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Pincher Martin is Golding's third novel. After the phenomenal success of *Lord of the Flies*, the second and third novels won critical acclaim but were rather less popular than the first. With *The Inheritors* , which preceded it, *Pincher Martin* established a small but solid body of *tours de force* with Golding as a major voice in the contemporary English novel. I should say at the outset that I wholly agree with the general critical opinion that *Free Fall* and the *The Spire* , which followed, were below Golding's standard, but with his recent *Rites of Passage* and perhaps some parts of the previous novel, *Darkness Visible*, the old man has shown himself once. again at the height of his powers and fully deserving of the honor of the 1983 Nobel Prize.

The first three novels describe radically different scenes but are alike in that they might be called fables that deal in one way or another with the nature of existence and evil. Part of the fabulous quality comes from the extreme limiting of the physical environment. In *Lord of the Flies*, the limitation is one of age and place. The characters are schoolboys and their environment is a tropical island. In *Pincher Martin* , the eponymous hero is stranded on a rock in the middle of the ocean, and in *The Inheritors*, the characters roam freely over the land but are restricted by being prehistorical men in an evolutionary stage of underdeveloped reason. This limitation of setting is reintroduced with effect in *Rites of Passage*, which takes place aboard an old sailing ship on its way to the Antipodes. It seems

that Golding's powers are much better focused when total access
to a wider world is not allowed to confuse the central issues.

The descriptions in Golding's novels are always part of
the structure and never just window-dressing in themselves. The
hostility of the island for the schoolboys and the lonely rock
of Pincher Martin are the essence of their predicaments, what
turn them inward toward themselves to confront the unpretty
sight of human nature in the raw. The descriptions in these
two   novels are, that is to say, representative of the action,
which is appropriate in stories that lean to a certain extent
on anthopological lore, though, as the critics Kinkead-Weeks &
Gregor point out, this lore is always subject to the uses of
Golding's imagination. That is,the descriptions are able to both
support a symbolic structure and to put the reader right on or in
the tropical island or barren rock or primeval forest with a
sensuously effective array of sights, sounds, and smells. This
second property is one measure of Golding's artistry, while the
first not only makes him significant in contemporary literature
but undoubtedly endears him to symbol-hunters of the academic
industry.

What calls forth the full range of the resources Golding
has at his command is what K-W & G (as I shall refer hereafter
to the authors of *William Golding: A Study*, an important critical
work on his first five or so novels) call "physicality" as a mode
of perception. In *Pincher Martin* this physicality is supremely
present, from the powerful opening of the sailor churning and
choking in the sea to the storm he rages in like a mad Lear before
the novel's action is abruptly switched off. The madness of this
latter scene is "convincing on a naturalistic level before it is
anything else." I should say the same thing of every scene in the

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novel that sticks in the mind: his struggle to climb the rock, his careful preservation of the fresh water supply and scrounging of the nauseating but necessary food. These scenes, like the boys' exploratory climb to the mountaintop and Ralph's chase scene in *Lord of the Flies*, or the rites of the New Men round the fire and Lok and Fa drunk in *The Inheritors*, are superbly narrated and can be enjoyed at the basic novel-reader's level that Forster described as being interested in what-happens-next.

There are skewed allusions to *Robinson Crusoe*, a book Golding might expect us to be thinking of when are reading about a man stranded in the middle of nowhere. The poverty of Pincher's resources, both material and spiritual, in contrast to Robinson's storekeeper calm and efficiency, help to point up Pincher's more desperate situation. Pincher's experience is closer to the bone, at least to a modern reader, because his cleverness, unlike Robinson's, does not make his predicament more bearable. I have always found it hard to believe that Robinson remained on his island for over twenty years without being overly concerned with lack of company and, in fact, as Ian Watt tells us in *The Rise of the Novel*, the Scottish sailor whose fate the character was based on underwent his ordeal with considerably less aplomb. Pincher doesn't take long for his collapse, but this might be explained by the fact that he was holding back the end from the very beginning, so that in this novel "realism becomes increasingly ironic" (K-W & G). Then too, Robinson had God on his side while Pincher remains an unrepentant sinner. Luis Buñuel's film version of *Robinson Crusoe* is closer to *Pincher Martin* than Defoe's classic novel. In the film, Robinson's self-assurance, like Pincher's, borders on the desperate and he eventually becomes both ludicrous and pathetic in his loneliness.

There is no wrecked ship offering Pincher presents of
tools, food, and jugs of rum — even his candy bar is no more than
a speck in a wrapper. Where Robinson's greatest fear is being
devoured by wild beasts (unjustified as it turns out), Pincher is
in bad physical shape from his shipwreck and he has to try hard
to keep his mind together. He is a resourceful chap, as much so as
Robinson, and after all his work lugging the seaweed up the rock
to make an identifying rescue mark, he barely has enough to start.
We feel as we read that this is closer to the truth of what it's
like to be a castaway. Indeed, Pincher is more of a Prometheus
than a Crusoe (K-W & G), as his mythical week being tortured on
the rock seems eternal and, despite the curses for prayers, more
cosmic.

But some who recognized the persuasiveness of the
physicality remained unconvinced by the flash-backs of him who
(in this case with justice) we can call the protagonist. John
Bayley says "consciousness must... be of absorbing interest" in a
novel. Now, it is Pincher's physicality as a mode of perception
that tells, and *is*, the novel, the consciousness of one man, as
well as the sufferings of his Promethean archetype. In purely
fictional terms, the flash-backs are valid, but it must be admitted
that the novel suffers a drop in voltage when Pincher is running
his pictures through his mind rather than just feeling; i.e. when
he actively meditates rather than passively hallucinates. He was
less interesting to me when I saw him as just a certain kind of
bastard who is identified as an "actor" or a "pincher" (thief) of
other people's realities — specifically the actor in a morality
play who is to play the part of Greed (K-W & G). The novel sinks
here in the same way as Defoe's does when Robinson starts saying

prayers, however much both of the novels depend on these things to give point to the action. That Pincher loses his job (and therefore has to go into the navy) is more a result of his tupping the producer's wife than his failure to "pinch" the part. He is a bit like John Lampton in *Room at the Top*: another bad actor, but more unscrupulous, ironically just the kind of fellow who would do pretty well on a rock in the mid-Atlantic. K-W & G argue that Golding is aiming at a "different kind of reality" from what is going on on the rock, one not naturalistic and particularized but a "world of morality-play," which might explain why these scenes are the least satisfying in the novel. K-W & G go on to defend this disparity by saying that Golding intended these scenes to be cinematic, that Pincher himself always insists on the artificial nature of his "illuminated scenes." There is a further irony here, too, since the "real" scenes on the rock are eventually revealed as artificial — they never happened! Pincher, it turns out, swallowed too much water in the beginning of the first chapter.

The explanation the two critics give, however, for Pincher's willfully continuing his story beyond the second page (the future that never was) is that this story can only be of the kind of man who refuses to die — and presumably why he is this kind of man is what is catalogued in the flash-backs. This explanation seems to me a bit slick, especially since I can't say what's wrong with it, but it seems like a critic's facile explanation rather than the satisfaction of a serious question. At first, I thought that Pincher's being dead was the weak part of the story — why not lop off the last chapter and leave it at that: a harrowing story of a not-nice fellow who rises to tragic heights and then is left to a

natural oblivion (in the film the final shot would be a long fade from the tiny rock in mid-Atlantic). But that would be to rewrite the novel, something one shouldn't attempt unless one dares to write another and undo what Golding had already done in his first two novels — add a final chapter giving an outside point of view to put things into perspective. In this way, we see in *Lord of the Flies* the savage boys as just boys playing at savages, and in *The Inheritors* the People as animal-like Devils. Here we see poor Pincher as just a water-logged corpse who didn't have time to get his seaboots off. In each case, there is a nice irony in that the final perspective is itself limited by the very knowledge the novels have given us by limiting our "modes of perception."

In *Pincher Martin*, however, I felt (got) tricked. I suspected and could put my finger on the passage where Pincher drowned but had to accept him alive to go on with the story. That is to say, in realistic terms, there is a discrepancy. Who "told" it, after all? If the naturalism isn't in vain, there ought to be an explanation, but what follows is only acceptable in metaphysical and not realistic terms. But the physicality of the sailor's perceptions imposes itself on the reader's brain so that dark center Pincher can't allow himself to dwell on comes across as the possibility rather than the fact of death. That is to say, a real hell is more convincing than a metaphysical one, and all the hints are explicit enough on a second reading. But is it fair to expect a reader of a novel to have to read to the end to make sense of the beginning? Poets expect it as a matter of course, so I suppose that is not a valid complaint, or maybe we are meant to read carefully enough to have seen the point from the beginning.

The horror Pincher cannot face is not just dying but accepting non-existence, which is much harder than facing the end of life: he fights against waking into "the positive, unquestionable nothingness." K-W & G have a (perhaps over) brilliant exposition of Pincher's seven days on the rock as a parody of God's creation. The fit in the rainstorm, then, is a logical culmination of a world created by the Imagination in the service of the Will gradually losing its credibility. Pincher's world becomes progressively harder to maintain (this is the increasing irony of the realism) in the teeth of "reality" pressing in with its "black lightning" (Golding's image) of non-existence. The novel, in this reading, is a *tour de force* of Being and Nothingness, like Lok's outside and inside selves in *The Inheritors*, the wild sponge of the mind and sane rock of the body of someone on LSD, the sensitive ego that perceives and the experienced ego that protects. Pincher holds on till he breaks. In the end, this reading is convincing, for Pincher prefers, after all, his suffering and isolation to the "black lightning." If he is Miltonic in his will to defy the reality of death, he is shown to be diminished by his choice, immense only in the "centre" that shits on heaven. This final obscenity of Pincher, as K-W & G point out, can be taken both ways: the novel's "religious view prevails, but the other has real imaginative resonance." In my own case, a dream that brought home the finality, the awful obliteration of death, resonates somewhere in a tension with the expectations of afterlife I was taught to hold. This is a novel that tackles the unmentionable realization everyone who dares think about it (or dream about it when they don't dare) knows lurks beneath the surface of the pathetic rationalizations that organized religious peddle. Golding

has a foil in the saintly Nat, but Pincher has the last words,
even if they are babblings to hold off the approach of the black
lightning, which "wears away in a compassion that was timeless
and without mercy."

O ENTRELAÇAMENTO DA ARTE E DA HISTÓRIA NA NOVELA DE
GOTTFRIED KELLER E NO ROMANCE DE MAX FRISCH

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O presente trabalho visa mostrar como Gottfried Keller, um dos maiores novelistas no século XIX e Max Frisch, renomado romancista da época atual, se posicionam diante da problemática dos gêneros literários[1] "novela"[2] e "romance". Partimos do princípio de que toda produção literária representa um confronto do autor com o seu tempo, na medida em que ele o aprova e o rejeita. Keller e Frisch estão convictos de que um novo momento histórico implica numa nova concepção de vida e do mundo, e que é preciso criar novas formas para poder expressar novos conteúdos. Keller em sua carta a Hettner de 9 de março de 1851 se posiciona diante da problemática arte-história como segue:

> Apesar de toda a verdade interior, os
> nossos antigos documentos clássicos
> não são suficientes para a nossa ne-
> cessidade atual, para a visão do mun-
> do de hoje, ... ocorreu o fato es-
> tranho de não atingirmos, nem de lon-
> ge, os modelos clássicos e de nem ter-
> mos sido felizes na sua imitação, mas,
> mesmo assim, não podemos retomá-los,
> precisamos lutar pelo novo desconheci-
> do que nos causa tanta dor de parto.
> O fato de isto demorar tanto (? dêem
> à natureza um pouco de tempo!) não
> nos permite entretanto nenhum pessi-

> *mismo, pois assim que o homem certo*
> *tiver nascido, o primeiro, o melhor,*
> *o 'novo' estará aqui. E, assim, há-*
> *bitos diferentes e condições distin*
> *tas dos povos condicionarão muitas*
> *regras de arte e motivos que não*
> *existam na vida e no modo de pensar*
> *dos nossos clássicos. Da mesma forma*
> *serão excluídos regras e motivos que*
> *ali se manifestavam. Eu pelo menos ve*
> *jo as coisas assim e saúdo por isto,*
> *com alegria, cada raio de luz que ilu*
> *mina a atual penumbra.*[3]

Frisch, aproximadamente um século depois, aborda essa pro
blemática da seguinte forma:

> *Mas o próximo passo certamente é ser*
> *mais honesto, não poetar o que os an*
> *tepassados, conforme sua consciência,*
> *tornavam poesia, mas poetar realmen-*
> *te, poetar o nosso mundo.*[4]

Evidencia-se nas duas citações a preocupação de Keller e Frisch
com o que chamamos de literatura engajada. É indiscutível para
ambos o grande valor dos autores clássicos, no entanto são cons-
cientes de que suas obras já não podem mais servir de modelo, uma
vez que a mensagem poética é parte do contexto histórico.

Keller confere a um de seus mais famosos ciclos de novelas,
O Povo de Seldwyla, publicado em 1874, o subtítulo "contos". En-
tretanto ao se referir a estas composições ele as chama ora de

contos, ora de novelas, ora de histórias. Seria precipitado con-
siderarmos as divergências quanto à caracterização formal dessa
obra como uma falta de consciência crítica de Keller: sua corres
pondência com o escritor Theodor Storm e com estudiosos de teoria
literária da época como Heyse e Vischer prova o contrário. Keller,
ao preferir chamar as composições da coletânea *O povo de Seldwyla*
de "contos", ao invés de "novelas", traduz a sua convicção de que
a obra de arte é algo vivo que não pode ser limitado por rígidos
princípios teóricos como aqueles que caracterizam a novela. Tal-
vez a obra de Keller possua um alto grau poético justamente pelo
fato de ter conseguido superar inflexíveis princípios formais.
Fritz Martini[5] chama a atenção sobre Heyse e Riehl que embora
grandes teóricos da novela não foram na prática tão bem sucedi-
dos.

Karl Konrad Pohlheim em seu relatório de pesquisa sobre a
novela[6] mostra que não é possível estabelecer critérios unifor-
mes e definir exatamente o que seja novela. Lämmert prova que es-
tas dificuldades se originam de uma conceituação ainda bastante
indefinida no que diz respeito a "gênero" e "tipo". O primeiro é
para Lämmert um conceito histórico, o segundo é uma constante
ahistórica. Não existe, portanto, um gênero literário com carac
terísticas atemporais. Cade ao crítico optar por uma das aborda-
gens, o entrelaçamento de ambas não é admissível, por prejudicar
a interpretação.[7]

De acordo com recentes pesquisas sobre a novela, a posição
de Keller é de vanguarda. Ele adota uma atitude declaradamente
histórica. Novas formas só nascem a partir da "dialética de um
movimento cultural".[8] Em cartas dirigidas a Storm em 16 de agos-
to de 1881, Keller explicita esta tese:

No que concerne à matéria em questão,
considero que não há teorias 'a priori'
nem para o romance, nem para a nove-
la e nem para os outros gêneros. Essas
teorias só podem ser depreendidas de
obras consideradas exemplares, entre-
tanto, os valores e as fronteiras ain_
da precisam ser delimitadas. O vir a
ser da novela ou o que se denomina as-
sim, ainda está acontecendo, por ora
também a crítica deve se limitar a
avaliar o espírito que aí se vislum-
bra.[9]

Assim posto, Keller considera que os elementos formais de
uma obra só se tornam característicos, desde que também possam
ser identificados em outras obras da mesma época. Como escritor
do século XIX, ele percebe a multiplicidade formal da novela do
seu tempo, acreditando, porém, que características mais defini-
das ainda precisam ser desenvolvidas. Do ponto de vista da crí-
tica literária atual, é justamente essa grande variedade de for-
mas que é peculiar ao gênero literário "novela" na segunda metade
do século XIX.

As ponderações de Goethe e dos românticos sobre a novela
constituem, entretanto, a linha diretriz para a produção literá-
ria neste gênero, no século XIX. As suas teorias, depreendidas es_
sencialmente do Decamerone que Boccaccio concluiu em 1353, conti-
nuam tendo caráter normativo. Mesmo quando Theodor Strom, em car_
ta dirigida a Keller, em 13 de setembro de 1883, escreve que "o
falcão de Boccaccio deixo voar despreocupadamente"[10], ainda está
latente em sua definição de novela, ao aproximá-la do drama, a

influência do escritor romântico Friedrich Schlegel.

> *A novela de hoje é a irmã do drama e*
> *a forma mais rígida de uma composição*
> *em prosa. Semelhante ao drama ela tra*
> *ta dos problemas mais profundos da vi*
> *da humana; semelhante a este, ela exi-*
> *ge para a sua perfeição um conflito*
> *que se situa no centro e a partir do*
> *qual tudo se organiza. Conseqüente-*
> *mente, ela é uma das formas mais fe-*
> *chadas, eliminando tudo o que não é*
> *essencial; ela não apenas tolera, mas*
> *também exige o máximo de arte.* [11]

Esta definição de novela de Theodor Storm procura unir caracte-
rísticas estabelecidas no passado para o gênero literário em
questão, com as exigências que a nova realidade impõe ao artis-
ta. Agora não é mais o evento que está no centro, mas sim o ser
humano. A novela se torna, assim, uma forma artística que se ori
enta essencialmente nas leis estéticas do passado, mas que tema-
tiza a realidade com que o escritor se defronta.

Keller reconhece esta evolução e procura abordar o proble-
ma "novela" por outro ângulo. A extensão de uma obra de arte pas-
sa a ser um critério distintivo e de caráter qualitativo. Uma com
posição mais curta que aspira à perfeição artística exige uma
ação concisa, um manuseio econômico do tempo interior e do exte-
rior. Ela apenas admite um número limitado de personagens e só
é capaz de enfocar momentos decisivos da vida. A última compo-
sição do ciclo de novelas *O povo de Seldwyla* destoa nitidamente

dessas características que acabamos de delinear. Após alguns
anos da sua publicação, o próprio Keller afirma cue o tema aí
abordado se prestaria melhor para um romance.[12] Nessa transi-
ção de composições narrativas de menor extensão para uma obra
de estrutura não tão condensada, espelha-se uma mudança em
Gottfried Keller quanto à sua concepção do homem e da vida. Ape
sar de todos os conflitos com os quais o ser humano se depara,
Keller ainda concebe o indivíduo como parte integrante de um
mundo racional, podendo apresentá-lo através de uma forma narra
tiva fechada e onde a ação é concluída.

Contudo não é essencial para Keller o fato de suas com-
posições épicas de menor extensão corresponderem ou não ao que
se exige de uma novela. Fundamental para ele é o que está explí-
cito na sua carta dirigida a Theodor Storm, em 30 de março de
1877, onde diz:

> considero melhor aquela forma da novela
> onde as coisas são sugeridas e fluem
> naturalmente, desde que se possa ler o
> bastante nas entrelinhas.[13]

Na medida em que Keller se liberta dos rígidos princípios for-
mais da novela, ele encontra, na configuração individual de uma
composição narrativa menos extensa, a possibilidade de dar ao seu
conteúdo a forma adequada.

Do mesmo modo como Keller, também Max Frisch rompe com as
tradicionais formas narrativas. A sua criação literária tem cará
ter experimental. Ele ensaia novas técnicas narrativas e meios de

expressão que comuniquem melhor a complexidade da existência dos
nossos dias. Em seu *Diário 1946-1949* Frisch manifesta o seu so-
frimento por um mundo que carece de uma "consciência maior"[14]
e que já não pode ser mais nem concebido e nem configurado em
sua totalidade:

> *A postura da maioria dos contemporâ-*
> *neos, acredito eu, é a do questiona-*
> *mento, cuja forma, enquanto falta uma*
> *resposta completa, só pode ser provi-*
> *sória; a única fisionomia que eles*
> *talvez possam mostrar com honesti-*
> *dade é realmente o fragmento.*[15]

Seguindo esse raciocínio Frisch rejeita a representação linear
e o desenvolvimento cronológico de uma ação. Dentro desse con-
texto o seu romance *Meu Nome seja Gantenbein*, publicado em 1964,
é um dos mais representativos. Os episódios nessa obra são jus-
tapostos de modo desconexo, como desconexo é o mundo que o artis
ta vivencia. Cada situação por mais autônoma que pareça, está
vinculada a um contexto maior, adquirindo relevância a partir do
lugar que ali ocupa. Eliminar ou deslocar arbitrariamente um dos
fragmentos destruiria a relação dialética entre as partes e o
todo. O seu encadeamento, quando possível, Frisch porém transfe-
re ao leitor.

A consciência da perda total de um mundo racional acarre-
ta também uma fragmentação do próprio eu. O ser humano só pode
ser compreendido parcialmente e a soma dessas frações é ponto
de partida para uma compreensão do homem, como um todo, desde que

se acrescente ao que é vivido concretamente, tudo aquilo que não
é vivido, pois o ser humano, segundo Frisch, se compõe desses
dois aspectos:

> *a pessoa é uma soma de diferentes pos-*
> *sibilidades, acredito eu, não é uma*
> *soma ilimitada, mas é uma soma que ex-*
> *cede a sua biografia. Somente as va-*
> *riantes mostram a constante.*[16]

Essa concepção de existência implica na convicção de que a vida
não é determinada pelo destino e sim pelo acaso. Frisch acredi-
tava poder configurá-lo no palco, entretanto, verificou que cada
cena, só pelo fato de ser representada, tem caráter definitivo
e imutável, não expressando o acaso. O romance é para Frisch
a forma narrativa capaz de mostrar variantes da realidade, ou
seja, as possibilidades não concretizadas que se desenrolam
no espaço imaginário de cada indivíduo, formando a sua vivência
do mundo. Esta vivência se torna comunicável na medida em que o
homem narra. Narrar porém não quer dizer reproduzir o passado
factualmente, mas sim, "inventar", projetar-se sempre renovadamen
te. Narrando, o indivíduo toma conhecimento de si próprio e se
dá a conhecer. Frisch aborda esta questão em "Escrevo para Lei-
tores. Respostas para Perguntas Imaginadas":

> *Dê a alguém a chance de narrar, de con-*
> *tar o que ele imagina, suas invenções*
> *parecem, a princípio, arbitrárias, a*
> *multiplicidade é imprevisível, quanto*

> *mais tempo ficarmos ouvindo, melhor*
> *distinguiremos o modelo de vivência*
> *que ele descreve inconscientemente,*
> *pois ele mesmo não o conhece antes*
> *de narrar.*[17]

Evidencia-se aqui que Frisch deseja representar em seus romances a rejeição do indivíduo pelo que é factual e a sua transposição para o plano da imaginação. O factual é concebido como uma limitação do eu, só no âmbito da imaginação o homem está livre de qualquer fixação. Essa concepção traduz-se numa técnica narrativa onde tudo permanece em aberto, não solucionado. Também não é o objetivo de Frisch definir ou prescrever, o que ele intenta é suscitar perguntas que levem o ser humano a um confronto mais consciente com a sua existência. Essa aspiração não é apenas peculiar a Frisch, mas é um traço dominante do romance moderno o que aliás é afirmado por E.T. Rosenthal em sua obra *O Universo Fragmentário*:

> (...) *o romance moderno, mesmo quando*
> *pretende ser apenas um relato, tende*
> *antes a sondar a realidade do que a co*
> *piá-la, assim como prefere apontar enig*
> *mas ao invés de procurar desvendá-los.*[18]

NOTAS

[1] Emprega-se aoui o conceito "gênero literário" como é concebido por Eberrhard Lämmert em sua obra *Bauformen des Erzählens*, Stuttgart, J.B. Metzlersche Verlagsbuchhandlung, 1975.

[2] Usa-se aqui o termo "novela" no sentido do alemão "Nouvelle". Ressaltamos que a "Nouvelle" não pode ser confundida com o que hoje em inglês se chama de "novel", termo empregado para designar o romance.

[3] KELLER, Gottfried. *Gesammelte Briefe*, org. Carl Helbling, Verlag Benteli, Bern, 1950-1954, vol. I, pp. 353-54. Esta, como as outras traduções que se seguirem no presente trabalho, são de minha responsabilidade.

[4] FRISCH,Max. *Gesammelte Werke in zeitlicher Folge* , org. Hans Mayer e Walter Schmitz, Suhrkamp Verlag Frankfurt/M. 1976, vol. 4, p. 540.

[5] MARTINI,Fritz. *Deutsche Literatur im bürgerlichen Realismus,1848-1898* .Stuttgart, J.B. Metzlersche Verlagsbuchhandlung und Carl Ernst Poeschel Verlag GmbH, 1974, p. 611.

[6] POHLHEIM,Karl Konrad. *Novellentheorie und Novellenforschung* , Stuttgart, J.B. Metzlersche Verlagsbuchhandlung und Carl Ernst Poeschel Verlag GmbH, 1965.

[7] LÄMMERT,Eberhard. *Bauformen des Erzählens* , pp. 15-6.

[8] KELLER,Gottfried. *op. cit.* p.400.

[9] ————————. *op. cit.* vol. 3/1, p. 464.

[10] STORM,Theodor & KELLER,Gottfried. *Der Briefwechsel zwischen
Theodor Storm und Gottfried Keller* , org. Albert Köster, Verlag
von Gebrüder Paetel, Berlin, 1904, p. 178.

[11] .STORM, Theodor."Eine zurückgezogene Vorrege aus dem Jahr 1881."
In: *Novelle* , org. Josef Kunz, Wissenschaftliche Buchgesellschaft,
Darmstadt, 1973, p. 35.

[12] KELLER,Gottfried. *op. cit.* vol. 3/1, p. 183.

[13] ————————. *op. cit.* vol. 3/1, p. 413.

[14] FRISCH,Max. *op. cit.* p. 450.

[15] ————————. *op. cit.* p. 451.

[16] ————————.*op. cit.* p. 327.

[17] ————————. *op. cit.* p. 332

[18] ROSENTHAL,Erwin Theodor. *O Universo Fragmentário* , tradução
de Marion Fleischer, São Paulo, Companhia Editora Nacional,
1975, p. 70.

OBS.: O presente trabalho é síntese de um capítulo de minha tese
      de doutoramento apresentada ao Departamento de Letras Moder
      nas - Área de Língua e Literatura Alemã - da Faculdade de
      Letras e Ciências Humanas da Universidade de São Paulo, em
      maio de 1982.

ANAIS DA TERCEIRA SEMANA DE

ESTUDOS GERMÂNICOS

3ª SEMANA DE ESTUDOS GERMÂNICOS

17 a 26 de Outubro de 1983

PROMOÇÃO: Departamento de Letras Germânicas da Faculdade de Letras
da UFMG.

COLABORAÇÃO:
- British Council
- Centro de Extensão da FALE/UFMG
- Goethe Institut
- Usica

PROGRAMA

DIA 17

09:00 - "James Joyce and the Modern Critical Theory"
Conferencista:
Prof. Dr. Stephen Tanner
(Brigham Young University)

19:30 - "Kandinsky e Munique"
Conferencista:
Profa. Dra. Maria Luiza Ramos (UFMG)

DIA 18

09:00 - Mesa Redonda: "O projeto de Inglês Instrumental do Depar-
        tamento de Letras Germânicas"
        Participantes:
        Profa. *Maria Helena Lott Lage* (UFMG)
        Profa. *Elisa Cristina de Proença Rodrigues Gallo* (UFMG)
        Profa. *Rosa Maria Neves da Silva* (UFMG)
        Profa. *Berenice Ferreira Paulino* (UFMG)

19:30 - "Recent Trends in ESP Teaching"
        Conferencista:
        Profa. *Else Ribeiro Pires Vieira* (UFMG)

DIA 19

09:00 - "Robert Browning - *The Monologues* "
        Conferencista:
        Prof. *Ian Linklater* (UFMG)

19:30 - "Tennessee Williams: O mito do passado"
        Conferencista:
        Profa. Dra. *Ana Lúcia Almeida Gazolla* (UFMG)

DIA 20

09:00 - "The Grand Style in English Prose"
        Conferencista:
        Prof. *Thomas LaBorie Burns* (UFMG)

19:30 - "A Lírica e a Prosa da Fase Inicial do Expressionismo Alemão"
        Conferencista:
        Profa. Dra. *Marion Fleischer* (USP)

DIA 21

09:00 - "Das ist gut Deutsch geredet!"

Observações sobre o estilo

Conferencista:

Profa. *Hedwig Kux* (UFMG)

19:30 - Não haverá atividade.

DIA 24

09:00 - Mesa Redonda: "Política e Filosofia de Extensão da Fa-

culdade de Letras"

Participantes:

Profa. *Ana Maria de Almeida* (UFMG)

Profa. *Maria Helena Rabelo Campos* (UFMG)

Profa. *Else Ribeiro Pires Vieira* (UFMG)

Profa. *Maria Cristina Esteves G. da Costa* (UFMG)

Profa. *Maria Helena Lott Lage* (UFMG)

19:30 - "Variação em Sintaxe. O caso do verbo perifrástico em

Inglês"

Conferencista:

Prof. Dr. *Anthony Kroch*

(University of Pennsylvania)

DIA 25

09:00 - "Kafka na *Colônia Penal* "

Conferencista:

Profa. *Vera Lúcia Casa Nova* (UFMG)

19:30 - "Paul Celan: 'A Realidade não é, precisa ser conquistada"
        Conferencista:
        Profa. Dra. *Veronika Benn-Ibler* (UFMG)

DIA 26

09:00 - "The Whole Idea of Language Policy in Brazil"
        Conferencista:
        Prof. Dr. *Denis Clare*
        (English Language Officer and Regional Director of the
        British Council)

NOTA: Não constam destes anais os trabalhos que, por motivos vá-
      rios, não foram entregues ao Conselho Editorial.

JOYCE AND MODERN CRITICAL THEORY

Stephen L. Tanner - Brigham Young
University

Ever since March 1918 when *The Little Review* ushered readers
into the world of *Ulysses* the Joyce question has been central in
discussions of modern literature. According to Marvin Magalaner and
Richard M. Kain, "Joyce's influence on creative art was immediate
and fruitful. His manner of vision fertilized the imaginations of
his contemporaries, not only in literature, but in the arts of
painting, music, theater, and dance."[1] To his early admirers,
Joyce was above all else a Modern, intoxicatingly so. T.S. Eliot
spoke of him in 1922 as the man who had "killed the nineteenth
century." Edmund Wilson in 1931 called him "the great poet of a
new phase of the human consciousness."[2] The impact of Joyce's
work, though impossible to measure accurately, is probably
difficult to overstate. Armin Arnold's statement that "Joyce has
had more influence on present world literature than almost any
other writer"[3] is essentially meaningless since it can't be
demonstrated, but it makes a point that is generally granted.

Despite the general acknowledgement of Joyce's pervasive
influence, speculation remains as to whether his last two major
works mark a dead end in fiction, an eccentric bypath, or a
stimulus to further development. Joyce's brother Stanislaus seems
to have favored the first of these possibilities. Responding to a
comment by one of Joyce's admirers that "Work in Progress" was the
last word in modern literature, he wrote to Joyce: "It may be the

last in another sense, the witless wandering of literature before
its final extinction."[4] Armin Arnold likewise suggests that Joyce's
achievement was not necessarily for the best: "Joyce was the one
who advanced furthest and most boldly toward the abolition of the
kind of literature and art which humanity has known since the time
of Aristotle. It would be difficult to imagine a work of literature
on the other side of *Finnegans Wake*."[5] David Daiches also believes
"*Finnegans Wake* is the end of a chapter and not the beginning. It
is the final form assumed by the cunning artist in response to the
breakdown of public standards of value and significance."[6]

   Ulysses and *Finnegans Wake* may have closed a chapter in the
development of fiction, but they became a provocative seedbed of
theoretical issues in the development of modern critical theory.
Joyce's art raises basic questions about communication, the relation
of language and reality, the permissible limits of interpretation,
and the determinacy of meaning in literary texts. Such questions
have played an important role in the evolution of critical theory
in our century and are currently being answered in radical ways,
ways that call into question traditional views of the relations
between author and reader, text and the world outside the text. We
are only beginning to sense the full impact upon literary theory
of Joyce's experimental fiction, some of the characteristics of
which have, after more than six decades, become the focus of a
controversy between traditional humanists and poststructuralists
in which, according to spokesmen for contending forces, the very
nature of writing and the future of criticism are at issue.

   Two recent books on contemporary literary theory, Gerald
Graff's *Literature Against Itself* and Frank Lentricchia's *After
the New Criticism* provide the useful service of explaining recent

critical theory, an area that has become increasingly subtle,
perplexing, and intimidating. One of the most illuminating things
about these books is their revelation of an evolutionary continuity
in critical theory. Both demonstrate persuasively that, as Graff
asserts, "post modernism should not be seen as a break with
romantic and modernist assumptions but rather as a logical
culmination of the premises of these earlier movements."[7] Both
demonstrate how the New Criticism was a logical outgrowth of
literary modernism and how poststructuralism, though purporting
to be a reaction to the New Criticism, among other things, has
actually carried New Critical premises to their natural — even
if extreme — conclusions. When such a continuity is delineated, a
natural development becomes apparent between Joyce and recent
poststructuralism, and a number of interesting parallels emerge
between this master of modernist fiction and contemporary
deconstructionists. Graff, without singling out Joyce, speaks of
this development as "a logical evolution" that "connects the
romantic and postromantic cult of the creative self to the cult of
the disintegrated, disseminated, dispersed self and of the
decentered, undecidable, indeterminate text."[8]

Eugene Goodheart remarks on this same connection in *The
Failure of Criticism* when he says that "The works of Barthes and
Derrida are fascinating examples of a powerful tendency in
modernism. It is to be found ... in *Finnegans Wake*."[9] The tendency
he has in mind is that of revealing or betraying with a vengeance
"the inherent instability of language." He sees it manifest as
unchecked in Derrida's *Glas* as in *Finnegans Wake* and identifies
it as the "energizing principle" of what now purports to be
criticism.[10] "What is remarkable and symptomatic about performances

of the French critics," he says, "is the displacement of this
modernist aesthetic tendency to criticism itself. By radically
weakening if not destroying the privileged point of view, modern
literature has sanctioned for them the demoralization of criticism.
Its evaluative function is now seen as an arbitrary exercise of
taste. Interpretation has lost whatever certainty it had. Indeed,
equivocation has been made virtually its first principle."[11]

The point I wish to make, then, is that the impact of Joyce's
art is still registering itself in recent radical developments in
critical theory. Certain qualifications are necessary for my
argument. First of all, in focusing on Joyce I am not naively
asserting that he exclusively provided the influences I will trace.
His major work is simply the most important and representative.
Second, my tracing of the continuity between Joyce and
poststructuralism is obviously schematic and oversimplified,
intended to be suggestive rather than definitive. Anyone having
read Lentricchia's book cannot be unware of the complexity and
convolutions in the development of contemporary criticism. Third,
I should acknowledge that I find much about poststructuralism that
is implausible, perplexing, and downright alarming and am therefore
sympathetic to the criticisms made by Graff, Lentricchia, and
Goodheart. But my distrust of deconstruction, for example, is really
not germane to my main argument. I am more interested here in
pointing out the connection between Joyce and deconstruction than
in evaluating either.

The current of ideas and attitudes I am concerned with begins
in an antimimetic impulse inherent in modernism. Daiches traces this
impulse to the breakdown of communal standards and values in the
late nineteenth and early twentieth centuries. "The modern novelist,"

he says, "is born when [a] publicly shared principle of selection
and significance is no longer felt to exist, can no longer be
depended upon."[12] The implication he perceives in this is that if
a culture can no longer provide a sense of what is significant and
valuable in life (and therefore in fiction, which "imitates" life),
the artist is forced to replace cultural values in his works with
literary or "formal" values. W.J. Harvey comments on the same
situation in *Character and the Novel* when he discusses the
modernist's declining sense of security in a time of contingency
and flux, when "man's relation to his world is no longer given
stability by being part of a divinely-ordered cosmos."[13] According
to Harvey, the reaction of the novelist in the early twentieth
century was to try to salvage a sense of stability in the work of
art itself: "Because the work of art — viewed as a self-sufficient
artifact — is a necessary not a contingent thing. It has its own
laws and its own firm structure of relationships; it can, like a
system of geometry, be held to be absolutely true within its own
conventionally established terms."[14]

This early twentieth-century situation described by Daiches
and Harvey continues, of course, for the contemporary writer. The
breakdown of agreed-upon systems of belief has forced upon him
the necessity of devising his own myth, or to view his business as
one of experimenting with various myths, none of which can ever
achieve full authority. The difference is that the postmodernist
no longer feels the order imposed by art is true or privileged.
Graff points out this difference in the following way: "Whereas
modernists turned to art, defined as the imposition of human order
upon inhuman chaos — as an antidote for what Eliot called the
'immense panorama of futility and anarchy which is contemporary

history' — postmodernists conclude that, under such conceptions of
art and history, art provides no more consolation than any other
discredited cultural institution."[15] According to Graff, the
postmodern temper has taken the skepticism and antimimetic tendency
of modernism to an apparently terminal extreme, and even though it
looks back condescendingly on the modernist tradition and claims to
have got beyond it, it remains unavoidably implicated in it. "The
concepts through which modernism is demystified derive from
modernism itself."[16]

Another factor contributing to the antimimetic impulse
within modernism, as Daiches has remarked, was the growth of the
more frankly psychological novel in the latter nineteenth century.
This movement tended to force the writer outside of, or at least
away from, the world he imitated. Daiches sees *Ulysses*, in one of
its aspects, as the culmination of this movement.[17] In Daiches'
view, Joyce does not appeal to a common ground of experience he
shares with the reader. *Ulysses* creates its own system "outside of
which the author never once needs to trespass." There is dependence
on Homer and other external sources, but it is dependence of a
special kind. It does not appeal to what the reader knows about
life. In short, Joyce's method in his last two large works "does
not involve mimesis at all: it is re-creation, not imitation."[18]

Despite his repeated insistence that *Ulysses* is a re-creation
rather than an imitation, Daiches acknowledges that mimetic values
emerge in spite of the author. The story is "satisfying and moving
as a human story — satisfying and moving because of values that
emerge in the telling in spite of the author's determination not
to commit himself to any values."[19] Graff also notes that modern
fiction seldom actually effected "the total subjectivization and

privatization of human experience called for by modernist theories which defined literature as an expression of inward 'consciousness' set over against the rational discourse of the public, objective world." By contrast, however, "postmodern fiction tends to carry the logic of such modernist theories to their limit, so that we have a consciousness so estranged from objective reality that it does not even recognize its estrangement as such."[20]

Combined with the antimimetic impulse in modernism is a tendency to present experience with an immediacy lacking a conceptual framework of meaning. Ian Watt, in his recent book on Conrad, traces this tendency to the convergence of the symbolist and impressionist traditions, the two parallel movements of the *avant garde* ferment of the late nineteenth and early twentieth centuries. Both symbolists and impressionists, he says, "proscribed any analysis, prejudgment, or conceptual commentary — the images, events, and feelings were to be left so to speak for themselves. ... the writer must render the object with an idiosyncratic immediacy of vision, which is freed from any intellectual prejudgment or explanatory gloss; and the reader must be put in the posture of actively seeking to fill the gaps in a text which has provoked him to experience an absence of connective meanings." We assume there has always been a gap between the signifier and the signified, the verbal sign and its meaning, but this gap, notes Watt, is considerably more obtrusive in the literature of our century, the expressive idiom of which is generally characterized by an insistent separateness between particular items of experience and the reader's need to find meaning in them. According to Watt,

This semantic gap does much to explain

> *the importance and the difficulty of the*
> *modern role of the literary critic. He is*
> *faced with the task of explaining to the*
> *public in discursive expository prose a*
> *literature whose expressive idiom was*
> *intended to be inaccessible to exposition*
> *in any conceptual terms. He confronts an*
> *incompleteness of utterance, an indeterminacy*
> *of meaning, a seemingly unconscious or random*
> *association of images, which simultaneously*
> *demand and defy exegisis.*

Watt attributes the "modern critical tendency to decompose literary works into a series of more or less cryptic references to a system of non-literal unifying meanings" to a misguided response to this very real problem in interpreting much modern literature.[21]

The "idiosyncratic immediacy of vision" Watt speaks of is obviously nowhere more clearly manifest than in *Finnegans Wake*, where in Daiches' words, "language, which began as a tool for expression and communication, for differentiating and sorting out by naming, ends as a tool for deliberately re-associating what was originally separated out in order to give meaning and order to experience."[22] Joyce is the first major writer to demonstrate an awareness of what has become a profound language revolution in our century: a recognition of the extent to which the world we live in is a linguistic product and the extent to which language is autonomous from "reality." As John Gross points out, "In *Ulysses* language is already beginning to work loose from its hinges; in *Finnegans Wake* it breaks free completely and words take on a capricious life of their own."[23] Daiches believes Joyce would have reached his ideal if he could have coined "one kaleidoscopic word

with an infinite series of meanings, a word saying everything in
one instant yet leaving its infinity of meanings reverberating and
mingling in the mind."[24] This seems an ideal a deconstructionist
can readily appreciate.

Space is unavailable here to detail how the issues evoked by
Joyce's fiction have provided the substance of debate and
theorizing in the New Criticism and after. In brief outline, the
stages can be described as follows. Joyce, as representative
modernist, found life in the twentieth century too complex and
devoid of anchoring and orienting values to treat realistically
with traditional methods of expression. He therefore self-
consciously over-turned the conventions of burgeois realism,
disrupted the linear flow of narrative, frustrated expectations
about the unity and coherence of human character and the cause-and-
effect continuity of its development, and called into question
through means of ironic and ambiguous juxtapositions the moral and
philosophical "meaning" of literary action. He shifted the focus
of attention from the objective unfolding of events to the
subjective experiencing of them, sometimes to the point of
enveloping the reader in a solipsistic universe, all the while
striving to remain aloof from the work and neutral in attitude.
Implicit in his method is the attitude that the modern world cannot
be understood but only "ordered" by arranging its various
constituents in structural patterns. This left the critic in the
uncomfortable position of having to explain and interpret in
ordinary discursive logic and within a mimetic framework a literature
deliberately created outside such conventional norms. Consequently,
critics posited a separation of life and art, of the nonreferential
language of poetry from the referential language of science, as a

way of simplifying things a little. The work was considered
autonomous and the puzzling intentions of the author were discounted.
Finally, the bold, but logical, step was made which acknowledges
that a literary text — any text, for that matter — has no determinate
meaning, that there is no outside the text and all reading is
misreading. The author is declared legally dead, and the object of
criticism becomes not to mean but be. The critic assumes a role
similar to that of the author of *Finnegans Wake*; his activity
becomes aesthetic and linguistic play divorced from the scheme of
determinate meaning and a centered universe.

  The move beyond the mimetic view of literature ultimately
entails a move beyond the mimetic view of criticism. Graff describes
the rationale in this way: "Just as literature ought to explode the
bourgeois myth of a stable reality independent of human fantasy, so
criticism ought to explode the professional academic myths of 'the
work in itself,' the 'intention' of the author, and the determinate
nature of textual meaning."[25]

  Without ignoring the distinctive differences, it is possible
to perceive in poststructuralism many similarities with Joyce. And
while it would be reductive and less than accurate to describe
Joyce as a proto-deconstructionist, that description is in large
measure appropriate and illuminates implications in Joyce's fiction
that have not beem adequately examined. Although in their linking
of poststructuralism with tendencies incipient in modernism Graff
and Lentricchia do not single out Joyce, it is obvious from their
characterizations of modernism that they often have *Ulysses* and
Finnegans Wake in mind.

  A comparison of Joyce and the deconstructionist reveals
numerous parallels. Language is of supreme importance to both and

is seen as fluid and autonomous and most significant in its written
form. Both are aware of the problematic status of their own
authority to make statements about anything outside the system of
language and convention in which they must write. Both are motivated
by a breakdown of agreed-upon systems of belief and are essentially
skeptical. Joyce rests his claims of honor for the artistic process
on the damaging admission that artistic order is not grounded on
anything outside itself. The deconstructionist simply carries this
further to assert that no linguistic order is grounded outside
itself. Both are nonmimetic and avoid normative comment. For both
the notion of play or aesthetic hedonism is primary. Joyce re-
creates experience; the deconstructionist re-creates the text. Joyce,
as author, strives to remain aloof and self-effacing; the
deconstructionist puts the author entirely out of consideration as a
source of authority for meaning. Freedom is a major concern for
both: Joyce seeks it for the author, the deconstructionist for the
reader. Both require conventions and norms at the same time they
react against them: Joyce's use of language in *Finnegans Wake*
depends on the use of language in the ordinary way so that a stable
medium remains with reference to which coinages have meaning;
likewise, if stable assumptions about meaning in a text did not
exist, the deconstructionist would have to invent them in order to
have a basis for his activity. The methods of both go against the
grain of traditional, common sense expectations concerning
literature as communication and are inherently self-destructive.
Finnegans Wake operates by thwarting the usual function of art;
deconstruction operates by thwarting the usual function of
criticism.

Such parallels can be multiplied, and, of course, they need

considerable refinement, but I think it is clear that those
processes will demonstrate how significant an influence Joyce
has been and continues to be in the evolution of modern critical
theory. Poststructuralism evidences once again that Joyce must be
reckoned as a giant in the literary realm of the twentieth century.

NOTES

[1] *Joyce: The Man, the Work, the Reputation* (New York: Colliers, 1962), p. 19.

[2] Eliot and Wilson are quoted by John Gross in *James Joyce* (New York: Viking, 1970), p. 1.

[3] *James Joyce* (New York: Frederick Ungar, 1969), p. 2.

[4] Richard Ellman, ed., *Letters of James Joyce* (New York: Viking, 1966), III, 103.

[5] Arnold, p. 113.

[6] *The Novel and the Modern World,* rev. ed. (Chicago: University of Chicago Press, 1965), p. 134.

[7] *Literature Against Itself* (Chicago: University of Chicago Press, 1979), p. 32.

[8] Graff, p. 51.

[9] *The Failure of Criticism* (Cambridge: Harvard University Press, 1978), p. 5.

[10] Goodheart, p. 3.

[11] Goodheart, p. 5.

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[12] Daiches, p. 5.

[13] *Character and the Novel* (Ithaca: Cornell University Press, 1965), p. 43.

[14] Harvey, p. 45.

[15] Graff, p. 55.

[16] Graff, p. 62.

[17] Daiches, pp. 94-95.

[18] Daiches, pp. 92-93.

[19] Daiches, p. 127.

[20] Graff, p. 208.

[21] *Conrad in the Nineteenth Century* (Berkeley: University of California Press, 1979), pp. 196-97.

[22] Daiches, p. 136.

[23] Gross, p. 75.

[24] Daiches, p. 129.

[25] Graff, p. 67.

O PROJETO DE INGLÊS INSTRUMENTAL DO
DEPARTAMENTO DE LETRAS GERMÂNICAS

1. Descrição do Projeto

Maria Helena Lott Lage - UFMG

Uma equipe de 09 professores do Departamento de Letras Germânicas da Faculdade de Letras da Universidade Federal de Minas Gerais está desenvolvendo um projeto de pesquisa intitu lado: *"Inglês Instrumental na UFMG: Reavaliação de Programas e Elaboração de Material Didático".*

São os seguintes os professores que compõem a equipe:

Profa. Sandra Cardoso dos Reis

Profa. Else Ribeiro Pires Vieira

Profa. Júnia de Castro Magalhães Alves

Profa. Rosa de Lima Sá Martins

Profa. Neusa Gonçalves Russo

e os componentes desta Mesa-Redonda:

Profa. Berenice Ferreira Paulino

Profa. Rosa Maria Neves da Silva

Profa. Elisa Cristina de Proença Rodrigues Gallo e

Profa. Maria Helena Lott Lage, estando a última na coordenação dos trabalhos da equipe.

O projeto consta ainda com a colaboração de uma das moni- toras do Departamento, a aluna:

Adriana Maria Tenuta de Azevedo, que demonstrou interesse na área e atuará como Assistente de Pesquisa.

A idéia do projeto surgiu da necessidade de se adequar os

métodos de ensino de inglês aos objetivos específicos para os quais pessoas das mais variadas áreas precisam de maior ou menor conhecimento do inglês como língua estrangeira.

Sabe-se o quanto este conhecimento é útil para o desenvolvimento cultural, científico e tecnológico. Daí a demanda cada vez mais crescente de cursos mais práticos, rápidos e objetivos. Este é o grande desafio a ser enfrentado.

A maior parte da clientela que atualmente busca cursos de inglês não tem condições nem recursos para freqüentar um curso de no mínimo três anos de duração, para conseguir um conhecimento razoável da língua.

Os cursos de inglês, em geral, são um tanto idealistas, visto que pretendem tornar a pessoa proficiente nas 04 habilidades básicas da língua, ou seja: ouvir - falar - ler - e escrever, nessa ordem de prioridade. Isso se considerado que o tempo de exposição do aluno à língua estrangeira em sala de aula é mínimo, pois ele vive num meio-ambiente onde atuam interferências da língua materna e de inúmeros outros fatores.

Um número bastante significativo de estudantes de inglês como língua estrangeira no seu meio-ambiente não necessita *falar* a língua em questão. É maior a necessidade de ler e compreender o significado da linguagem escrita e falada, a primeira bem mais do que a última. Muitos terão talvez até que escrever com maior freqüência antes de terem alguma oportunidade de conversar com um falante nativo da língua, e a grande maioria dificilmente terá alguma chance de viajar para o exterior.

Por outro lado, enfrenta-se o grave problema do material didático comercial, produzido com o objetivo de atender ao maior número de pessoas possível, do Ocidente ao Oriente. Cada reali-

dade é extremamente diferente nas diversas partes do mundo, as-
sim como as dificuldades encontradas são bastante relativas. Um
material que pode ser excelente para estudantes japoneses apren
dendo o inglês (enfatizando o uso do "present continuous tense",
por exemplo), poderá ser monótono para um aluno brasileiro, que
não encontra nenhuma dificuldade para assimilar tal construção.
Considere-se ainda o alto custo dos livros didáticos importados.

Parece bem claro que a maior parte das pessoas, portanto,
precisa do conhecimento de inglês para objetivos *específicos*, ou
seja, como um instrumento para serem melhor sucedidas em sua pro
fissão, ou para se informarem melhor sobre sua área específica,
ou até mesmo para desenvolverem pesquisas na sua área de especia
lização. Considerando-se, principalmente, a situação de um país
em desenvolvimento, onde é restrito o incentivo à pesquisa e à
produção intelectual e acadêmica, pode-se afirmar que o inglês
é a língua internacional que mais contribui para o desenvolvimen
to nas áreas técnicas e científicas. Pesquisa-se e publica-se in
finitamente mais em países já desenvolvidos, que podem contar
com recursos financeiros e técnicos para tal.

Os cursos de inglês que visam atender essa clientela ,
são chamados em inglês de ESP (English for Specific Purposes),
tendo sido batizados em português com o nome de *Inglês Instrumen
tal*, posto que o inglês é para o profissional de outras áreas um
instrumento e não um objetivo em si como no caso dos profissio-
nais de letras.

Dentro da própria UFMG, o Departamento de Letras Germâ-
nicas oferece cursos em algumas Unidades que incluíram o inglês
como parte integrante de seu currículo obrigatório. A discipli-
na tem sido denominada "Inglês Técnico", com base na crença de

que apenas o conhecimento da terminologia técnica da área permite acesso fácil à bibliografia específica a às informações necessárias. Ao se propor uma mudança no nome da disciplina (o que está sendo feito nos colegiados envolvidos), está-se propondo também uma modificação de atitude em relação à mesma, envolvendo uma re avaliação de objetivos, conteúdo e metodologia.

Os objetivos gerais deste projeto, portanto, são os seguin tes:

1. Reestruturar o funcionamento dos cursos de Inglês Instrumental na UFMG, principalmente a nível de conteúdo programático, visando uma futura ampliação dos mesmos na entidade para aten der não somente à comunidade universitária, como também à comunidade em geral, através de programas de extensão.

2. Organizar um arquivo após avaliação do material didático já existente.

3. Selecionar material para montagem de um Banco de Textos com vistas a maior flexibilidade de escolha do professor para ade quar seu curso às reais necessidades dos alunos.

4. Confeccionar um Manual Básico que possa ser usado num primeiro estágio em todos os cursos de Inglês Instrumental da UFMG, e de Manuais Complementares diversificados dirigidos às áreas e interesses específicos dos alunos dos estágios posteriores.

5. Propiciar maior integração da Faculdade de Letras com outras Unidades e Departamentos da UFMG, incentivando assim o trabalho inter-departamental.

Estão sendo realizadas reuniões semanais para estudo e exe
cução do plano de trabalho, que deverão ser mais freqüentes à me-
dida que as atividades forem se tornando mais intensificadas, com
distribuição de tarefas específicas, avaliação do trabalho reali-
zado, assim como discussão dos resultados das experimentações com
as turmas piloto com vistas a avaliação e reformulação do mate
rial experimentado.

Esta primeira fase do projeto (que deverá se estender até
fevereiro de 1984), visa a reestruturação dos cursos que já são
ministrados, para que as necessidades dos alunos, professores
e instituições sejam atendidas da melhor forma possível.

Atualmente, são os seguintes os cursos de Inglês Instru-
mental na UFMG:

1. A *nível de graduação* (obrigatórios):
    1.1 - Inglês Instrumental para Ciência da Computação - 02 se-
        mestres de 30 horas/aula cada;
    1.2 - Inglês Instrumental para Estatística - 02 semestres de
        30 horas/aula cada.

2. A *nível de pós-graduação* (obrigatórios):
    2.1 - Inglês Instrumental para Medicina (Cirurgia Abdominal)
        - 04 semestres de 60 horas/aula cada;
    2.2 - Inglês Instrumental para Letras (Lingüística, Literatu-
        ra Brasileira e Língua Portuguesa) - 01 semestre de
        60 horas/aula.

3. A *nível de extensão*
    3.1 - Inglês Instrumental para Ciência Política - 02 estágios
        de 30 horas/aula cada.

O Departamento de Letras Germânicas tem recebido inúmeros pedidos de cursos de extensão, dentro e fora da UFMG.

Já a Faculdade de Biblioteconomia, seguindo o que acontece em outras unidades, está também incluindo o inglês como parte integrante do currículo obrigatório de seus alunos.

No entanto, são inúmeros os obstáculos de ordem prática, como: carga horária insuficiente, número excessivo de alunos por turma e turmas muito heterogêneas quanto ao conhecimento de inglês. Os objetivos estão muito além das capacidades individuais e das necessidades reais dos alunos, o que representa a maior barreira. Como pretender que numa turma de calouros, com baixo nível de conhecimento de inglês, sem nenhum contato com os conceitos básicos de sua área específica, possa ser capaz de ler textos didáticos especializados com apenas 60 horas/aula de curso distribuídas em 1 ano letivo?

A filosofia básica em torno do projeto tem sido chegar a uma situação satisfatória para todas as partes envolvidas, a saber: os alunos, os professores da área específica, os departamentos em questão e os professores de Inglês Instrumental.

Além da reestruturação dos cursos, pretende-se fazer uma reavaliação detalhada dos programas dos cursos, envolvendo adaptação, suplementação e elaboração de material didático. Pretende-se organizar um Centro de Recursos, incluindo um Banco de Textos, recursos e material didáticos, bem como material bibliográfico. Todo o material será testado e reavaliado durante o ano de 1984, que constitui a 2a. fase do cronograma de execução do projeto. Ao final da 3a. fase, prevista para agosto de 1985, pretende-se ter já montados os Manuais Didáticos Básicos e Complementares a serem usados, no mínimo, como suporte técnico.

O projeto de pesquisa foi encaminhado ao CNPq (Conselho Nacional de Desenvolvimento Científico e Tecnológico) para cadastramento em maio do presente ano. Em julho, foi encaminhada Solicitação de Auxílio para aquisição de material permanente, material de consumo, serviços de terceiros, cópias xerox e confecção doa Manuais Didáticos.

Finalmente, o projeto conta com o apoio do "Projeto Nacional de Ensino de Inglês Instrumental em Universidades Brasileiras", coordenado pela Profa. Maria Antonieta Abla Celani, da Pontifícia Universidade Católica de São Paulo, por sua vez asserorado pelo Conselho Britânico e órgãos do Ministério da Educação e Cultura.

2. Análise de Necessidades

Elisa Cristina de Proença
Rodrigues Gallo - UFMG

Numa tentativa de definição do que seria análise de necessidades, poderíamos parafrasear o professor John Holmes[1], que diz ser esta um processo que se propõe não apenas a examinar as necessidades do aluno, mas também comparâ-las à realidade da situação e, a partir deste ponto, começar a definir os objetivos do curso e a forma como podem ser atingidos.

Uma vez estabelecida a análise de necessidades, uma vez determinados os fins específicos dos alunos, o professor estará

capacitado a planejar um curso eficaz.

Basicamente, há duas maneiras formais utilizadas para a co
leta de informações sobre os objetivos específicos dos alunos:
1. questionário a ser completado pelo aluno e/ou pelo professor;
2. entrevista estruturada.

A entrevista apresenta várias vantagens sobre o questioná-
rio: nenhuma resposta é omitida: o entrevistador pode esclarecer
dúvidas eventuais que surjam quanto à interpretação das questões
e, talvez o mais importante, o entrevistador pode explorar novos
aspectos surgidos no decorrer da entrevista.

Com vistas a uma estruturação mais precisa dos cursos de
Inglês Instrumental em diversas áreas da UFMG, a equipe do Pro-
jeto de Inglês Instrumental do Departamento de Letras Germânicas
formulou questionários – uma vez que no nosso caso entrevistas
seriam inviáveis – tentando determinar as reais necessidades de
cada área específica no que se refere à aprendizagem de inglês.

Foram formulados três tipos diferentes de questionários:
para os alunos, para os professores e para os departamentos.

1. Questionário para os Alunos

Uma vez definida a área de especialização do aluno, o
maior interesse foi detectar o seu conhecimento prévio de inglês
(cursos que já fez: tipo, duração, local e data). Tal pergunta
foi formulada por se julgar que esse conhecimento é necessário
para maior eficácia do curso de Inglês Instrumental.

Talvez seja este o fator que traga maiores dificuldades
ao professor de Inglês Instrumental, pois a maior parte dos alu
nos apresenta um conhecimento bastante precário de inglês,.caso
não tenha freqüentado cursos particulares.

O inglês no primeiro e segundo graus sofre várias restrições, tais
como: grande número de alunos em sala de aula, heterogeneidade
da turma, falta de motivação para o aprendizado e, principalmen
te, uma carga horária insuficiente e inadequada.

Foi solicitada também uma auto-análise dentro dos concei-
tos — ótimo, bom, razoável e nulo — nas habilidades a serem ad-
quiridas: leitura, compreensão oral, redação e conversação. A
resposta será importante não apenas para avaliar a homogeneidade
da turma, mas também para orientar o professor quanto ao tipo de
técnicas e exercícios a serem utilizados para a aquisição de uma
determinada habilidade.

Também foi perguntado a respeito do conhecimento de uma
outra língua estrangeira, levando-se em conta que tal conhecimen
to se reflete numa maior facilidade de assimilação de fundamentos
básicos e aquisição de vocabulário.

Com referência à   motivação dos alunos para o curso de
Inglês Instrumental, quatro questões foram propostas. grau de
motivação; necessidade do inglês para o exercício da profissão
(imprescindível, relevante ou irrelevante); objetivos específi-
cos para os quais precisam de inglês (leitura de: livros acadê-
micos, relatórios de pesquisa, periódicos, manuais técnicos; par
ticipação em debates: redação) além de outros tipos de leitura
que não textos da área específica.
As respostas a estas perguntas servirão de subsídio para a se-
leção de material adequado que desperte no aluno maior interesse
por um curso que, até certo ponto, lhe é imposto.

No entanto, ao analisar as respostas, certo cuidado de-
verá ser tomado visto que, muitas vezes, o aluno não tem a di-
mensão exata das suas necessidades reais.

Passa então para a competência do pesquisador analisar e comparar as informações fornecidas por alunos, professores e departa mentos como ponto de partida para a seleção do material didático mais adequado.

Solicita-se finalmente ao aluno que sugira o(s) período(s) letivo(s) de seu curso específico em que o Inglês Instrumental deva ser oferecido para seu melhor aproveitamento.
Embora pareça mais lógica a oferta do Inglês como instrumento auxiliar no início do curso específico do aluno, a experiência não tem confirmado essa teoria.
A oferta do Inglês Instrumental a partir do meio do curso, isto é, depois dos primeiros semestres letivos, tem se mostrado mais eficaz, uma vez que,nesse período, os alunos já adquiriram conceitos básicos de sua área específica e já não atribuem ao profes sor de inglês uma função que não lhe compete – a de explicar tais conceitos.

2. Questionário para os Professores

Aos professores da área específica foi solicitada uma ava liação da necessidade real do curso de língua instrumental,no que se refere aos objetivos específicos a que curso se propõe e período(s) letivo(s) em que deva ser oferecido.

Perguntou-se também o tipo de ajuda que poderiam oferecer ao professor da língua instrumental em termos de orientação em assuntos específicos da área e indicação de bibliografia especializada.

3. Questionário para os Departamentos

As questões propostas aos departamentos visam esclarecer o aspecto administrativo do curso: duração (carga horária) e obri

gatoriedade.

Foi proposta uma avaliação dos objetivos do curso em função das necessidades do aluno e do desempenho esperado em relação ao conhecimento de inglês.

NOTA

[1] John Holmes. Needs Analysis: A Rationale for Course Design. In: The ESPecialist, nº 3, PUC-SP, 1981, pp. 10-17.

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3. A Língua para Fins Específicos e o Texto - Uma Experiência Pessoal

Rosa Maria Neves da Silva - UFMG

A língua em si mesma sempre foi instrumento — seja de comunicação oral, descrição científica, criação artística. No entanto, a terminologia correntemente usada para designar esse no

vo propósito do ensino da língua — Língua Técnica ou Língua Ins-
trumental — parece limitar a interpretação do enfoque real a que
se destina o mesmo em certos casos.

A demanda de língua como instrumento cresceu nos últimos
dez anos e cresce assustadoramente, mas tem esbarrado num concei
to falso de imediatismo milagroso. Assim, considero que encarar
esse até certo ponto *novo* conceito de ensino de língua como para
fins específicos , define melhor a função do ensino.

O fim específico deve e tem que ser uma combinação da ne
cessidade profissional-técnica-científica somada a uma ou mais
das habilidades comumente ligadas à aprendizagem de qualquer lín
gua. Esse fim específico, que no caso particular dos cursos ofe-
recidos na UFMG, tem dado ênfase à habilidade de leitura, pode
ser deslocado para a compreensão oral, a redação e a conversa-
ção.
Fica claro que nesse ponto há uma semelhança muito grande com o
ensino tradicional.
A diferença se faz em termos do uso mais acentuado de textos,
no tempo mais reduzido dos cursos (sem contudo se dever chegar ao
imediatismo,sempre negativo), no enfoque mais objetivo de certos
aspectos didáticos e de conteúdo, excluindo-se especulações sub-
jetivas a respeito da língua e tudo aquilo que o bom senso do pro-
fessor julgar necessário, de acordo com as peculiaridades da língua
usada em cada área profissional-técnica-científica em especial. Es
sa língua é mais literal e menos literária.

Estabelecida a combinação área específica/habilidade, che
ga-se ao elemento-meio essencial: o texto.
Tem sido muitas vezes questionado o tipo de texto a ser usado no
que se refere ao conteúdo. A experiência tem mostrado (mesmo con

trária à opinião de alguns) que muitas vezes os textos não devem
se referir à área específica do aluno, ou seja, a composição do
curso deve incluir textos não específicos.

Textos específicos devem ser usados com moderação já que
se observa uma tendência muito evidente entre os alunos de aban-
donarem a aprendizagem da língua em si passando a conversar na
língua nativa sobre o conteúdo técnico-científico do texto em
uso. Assim a língua, objeto primeiro do ensino, passa a ser obstá
culo e não meio. É preciso lembrar, e lembrar aos alunos na sala
de aula, que somos basicamente professores de língua e não de
sua área específica. Além disso, já se detectou a pressão feita
por muitos alunos no sentido de que o professor se faça tradutor
do vocabulário técnico-científico e se limite à discussão do con
teúdo do texto. Mas seria esse, se seguido, um processo eficien-
te?

Na verdade, essa seria uma atitude imediatista e irreal que
pareceria resolver o caso no momento mas não daria ao aluno os
elementos necessários para uso posterior sem a muleta do profes-
sor.

Aliás, num sentido prático, vejo a língua para fins espe-
cíficos sob dois prismas: o de *ensino* e o de *treinamento*. Tal-
vez mesmo,dentro de um esquema de tempo e necessidade sempre pre
mentes, o aspecto treinamento seja o único completamente possí-
vel.

Quando se diz que não há milagres em enfocar-se a língua como ins-
trumento, entende-se a impossibilidade de transformar um aluno sem
qualquer conhecimento num hábil leitor depois de um curso relati-
vamente curto e rápido. Compreende-se aqui a ponderação daqueles

que ainda, por alguma razão, não aceitam a eficácia do ensino da língua instrumental ou para fins específicos.

Minha ponderação é a de que nesse ponto, esse "ensino" parece ser muito mais um treinamento (ou exercitamento) do conhecimento já adquirido, um despertar da aplicação mais precisa desse conhecimento, acompanhado de uma ampliação em termos de projeções de regras de estrutura e gramática e técnicas de leitura. Na verdade, ensina-se todo o tempo. Ensina-se ainda mais no nível elementar, ou seja, para aqueles que não têm conhecimento de estruturas e gramática básicas. O exercitamento se faz quando o aluno já é conhecedor desse nível inicial.

Na fase inicial, o enfoque único sobre estratégias de leitura é quase impossível, pois depende de certa maturidade do aluno tanto em termos linguísticos quanto sócio-culturais. O aluno iniciante ainda não é capaz de projetar normas de língua aplicando-as a situações posteriores ; depreende pouco do texto e tem vistas curtas quanto à sua própria necessidade real de aprendizagem. É papel do professor alertá-lo, para que essa visão errônea não o impeça de produzir mais eficientemente e de aceitar o ensino (não tão milagroso quanto o esperado) que lhe é oferecido.

Bem, voltemos ao texto em si. O conteúdo não esgota absolutamente o propósito do curso ou do ensino. Ao contrário, o conteúdo, que deve sempre ser atraente, serve como artifício positivo para o acompanhamento da aula, de exemplo concreto do uso da língua, mas não é objetivo único. De todo modo, no caso dos textos não específicos, os assuntos devem ser atuais, variados em termos de registro e tecnicamente bem redigidos. Os específicos devem desafiar de certa maneira o conhecimento do aluno .

Além do conteúdo, o vocabulário, em ambos os casos, deve ser rico com moderação, os aspectos gramaticais exemplos distin tos, claros e sem ambiguidade. Não se deve, como base, recorrer a textos didaticamente preparados (a não ser quando muito curtos e usados estritamente para exemplificação de estruturas e gramá tica) já que em termos de conteúdo a aplicação da aprendizagem visará textos não didáticos.

Além disso tais textos tendem a ser desinteressantes e forçados. Ao professor, finalmente, caberá a melhor opção seja nisso ou quanto à escolha dos aspectos da língua a serem desenvolvidos. Sabe-se, por exemplo, que em certas áreas técnicas e científicas a adjetivação exerce papel de total importância. Em outras, a passiva é artifício largamente usado. Estruturas simples, em con traposição às complexas de certas áreas de teor artístico ou li-terário, são comuns em muitas redações técnicas. Os cognatos nun-ca devem ser esquecidos. No nosso caso, a lembrança de um Inglês tão inserido de influência latina deve servir de motivação para cada aula. A tradicional associação contrastiva com a língua nati va prova ser indispensável não só para o entendimento de toda uma filosofia de língua, variável e repleta de fontes históricas, fol-clóricas, sociais e religiosas, que se repetem em usos de expres-sões idiomáticas, tabus linguísticos, registros diversos, e até mesmo os não tão saborosos usos de itens gramaticais às vezes dispensáveis numa língua e essenciais noutra. Vale aqui uma aná-lise criativa de semelhanças e divergências.

Quanto aos exercícios propostos (além daqueles de compreen são de conteúdo), podem ou não estar ligados a um texto em espe-cial. Fica claro que até o exercitamento visual de estruturas e palavras num início de curso, mesmo sem implicações de signifi-

cado, facilita a incorporação desses itens a uma vivência linguís
tica. Assim, usar elementos do texto em exercícios diversos leva
a uma repetição que só facilita a aprendizagem. Não se exclui,
evidentemente, o uso da variação de tais elementos quando para o
professor isso significar alternativa didática produtiva.

Quanto ao padrão organizacional do texto, é essencial levar
o aluno ao reconhecimento e distinção de narrativas, descrições,
opinião, fato, crítica e os demais. Ligar elementos de língua a
essas funções, examinar a diferença de padrão entre a língua na-
tiva e o Inglês, utilizar os tradicionais processos de "skimming"
e "scanning", perguntas e respostas, sumários, tabelas, inferên-
cia, compreensão literal e crítica, devem ser caminhos para o
estudo completo do texto.

Resta acentuar que o ensino/treinamento da língua para fins
específicos não deve de maneira alguma restringir-se isoladamente
seja ao texto, como objeto de estudo de conteúdo, ou a estraté-
gias de leitura ou ainda a exercícios de língua. Uma combinação
balanceada, metódica, sistemática desses elementos ainda parece
ser o caminho mais viável para se atingir o propósito chamado es-
pecífico.

Finalmente, há que se tomar como função primordial do en-
sino, levar o aluno a exercitar sua auto-confiança quanto ao co-
nhecimento adquirido.

4. Considerações sobre alguns Critérios Usados na Seleção de Textos

Berenice Ferreira Paulino - UFMG

Selecionar e planejar unidades seqüenciadas, interessantes, frutíferas e coerentes com os objetivos dos cursos de Inglês Instrumental tem sido tarefa árdua, podendo gerar desinteresse do pessoal docente por tais cursos. Vou tecer algumas considerações, frutos de minha experiência como professor de ESP, que talvez possam auxiliar pessoas interessadas em lecionar Inglês Instrumental.

Quais são os critérios a serem considerados ao selecionarmos material adequado? Tendo em vista que a maioria dos cursos de Inglês Instrumental visa a desenvolver habilidade de leitura de textos em Língua Inglesa, a primeira preocupação do professor é, obviamente, encontrar textos ideais para as mais diversas áreas como Computação, Medicina, Ciências Humanas, etc..

O que torna um texto ideal? Há fatores preponderantes, relacionados não só com a maturidade intelectual e cultural dos alunos, mas também com seu nível de conhecimento específico da área. O professor que tenha, antes de mais nada, investigado qual é a bagagem cultural dos seus alunos em perspectiva, tem um ponto de referência para julgar se determinado texto vai ser motivante. Um dos requisitos básicos para isso é que o texto traga informações que não fiquem totalmente aquém ou além dessa bagagem de informações que o aluno já possui.

Uma segunda pergunta comumente feita é relativa ao conteúdo dos textos — usar textos de conteúdo específico da área ou não? Há muita polêmica em torno do assunto e aqueles que são con-

trários ao uso exclusivo de textos específicos alegam, primeira-
mente, que, muitas vezes, o aluno responde satisfatoriamente per
guntas de compreensão sobre um determinado texto, simplesmente
porque o assunto lhe é familiar, sendo bastante difícil, em tais
casos, medir sua real habilidade de leitura. Tal afirmação pode
ser refutada por outro argumento - todo bom texto selecionado de
ve conter uma certa percentagem de inovação para ser motivante e
a obediência a esse requisito básico excluiria aquela possibili
dade. A segunda alegação é de que os textos específicos podem
estar "além", não para os alunos, mas para o professor de Inglês
que, freqüentemente, desconhece quase totalmente o assunto, ocor
rendo muitas vezes, em sala de aula, uma inversão da dicotomia
professor —→ aluno para aluno —→ professor. O terceiro argumen
to, bem semelhante ao anterior, baseia-se na verificação de que
a principal área de dificuldade para alunos brasileiros, não se
refere ao vocabulário técnico, que na maioria dos casos é cogna-
to, mas sim aos itens de língua comuns a vários tipos de textos,
tais como conjunções, *phrasal verbs*, preposições, verbos, modais,
expressões idiomáticas, estruturas mais complexas de sentenças,
etc..Esse fato explicaria, novamente, a dificuldade que o profes-
sor de língua freqüentemente tem, no que se refere ao conteúdo
específico dos textos, contrastada com a relativa facilidade com
que os alunos,dispondo de pouco conhecimento de língua, conseguem
extrair informação mais precisa do texto.

        O uso de textos que não sejam altamente específicos, espe-
cialmente na área de ciências exatas, parece ser a melhor políti-
ca, já que o objetivo dos cursos é desenvolver habilidade de
leitura de textos técnicos. Tais textos se caracterizam por con-
terem uma ampla terminologia própria que precisa ser minuciosamen

te explorada, memorizada e aplicada juntamente com certas estrutu
ras de língua mais freqüentemente encontradas e que são também
problemáticas, tais como as longas seqüências de *noun-modifiers*,
as orações relativas, a voz passiva, para mencionar apenas algumas
delas.

Ainda quanto à especificidade dos textos, pesquisas já fei
tas revelaram que os alunos de Ciências Exatas são mais motivados
por textos de conteúdo específico, ao passo que os alunos de Ciên-
cias Humanas mostram interesse por uma ampla variedade de temas.
Caso o professor opte por textos específicos, ele deve estar dupla-
mente atento: ao grau de especialização do assunto e ao interesse
que ele possa despertar.

Outra grande barreira decorre dos critérios de autentici-
dade e gradação de dificuldade considerados aconselháveis. Como
pode o professor selecionar textos que sejam ao mesmo tempo autên
ticos, acadêmicos, motivantes e que sejam também fáceis, tanto
no que diz respeito aos itens da língua quanto aos conceitos
ou terminologia básica da área? Alguns professores têm soluciona-
do o problema usando, no início do curso, textos adaptados ou pa-
rágrafos, através dos quais os itens de língua considerados essen-
ciais à compreensão, são explorados, preparando assim o aluno para
os textos mais acadêmicos, introduzidos num segundo estágio do
curso.

O aluno já estaria, a essa altura, familiarizado com as es-
truturas e conceitos básicos tanto do Inglês como da área especí-
fica. Nesse caso, o professor tem nos livros já editados e espe-
cializados em técnicas de leitura, uma ótima fonte de sugestões e
idéias, e ele pode, se julgar adequado, adotar algum volume ou
toda a série, mesmo que ele tenha que complementá-la com exercí-

cios mais apropriados às dificuldades típicas dos alunos brasilei-
ros.

Freqüentemente, o professor de ESP enfrenta problemas de
ordem financeira. Após selecionar um texto ideal, com um belo
lay-out , rico em fluxogramas, chagramas, gráficos, palavras em
negritos e diversos outros recursos tipográficos, ele é informa-
do que não há verba para xerox e que cabe a ele datilografar e re-
produzir o *lay-out* do texto original, o que é quase sempre impos-
sível e extremamente trabalhoso. A menos que o professor seja um
hábil desenhista, o resultado será muitas vezes confuso e até mes
mo cômico.

É válido mencionar ainda, que são os nossos próprios alu-
nos e os outros professores da área que melhor podem sugerir fon
tes bibliográficas, tais como manuais, periódicos, revistas es-
pecializadas, já que os textos técnicos são extremamente vulnerá-
veis ao tempo e perdem de ano para ano parte de seu caráter ino-
vatório, exigindo portanto, constante renovação.

Para finalizar, todo professor de ESP deve ter em mente que
a leitura e compreensão de textos é uma "skill" e que a melhor
forma de desenvolvê-la é através da própria leitura. Conseqüente-
mente, a melhor política é possibilitar ao aluno um contato com o
maior número de textos possível, tanto para atividades em sala
de aula ou fora dela.

RECENT TRENDS IN ESP TEACHING

Else Ribeiro Pires Vieira - UFMG

Most ESP courses are based on sponsor needs: in other words, on what the parent institution or company thinks the student's needs are. For example, a needs analysis may reveal that learners need to read specialized books in English. What does this imply for the pedagogic approach? There are several answers to the question, each answer revealing a different trend in ESP teaching. For the sake of clarity, this lecture considers two trends in current ESP teaching, namely, the classic ESP approach and the integrated skills approach.[1] Let us consider the basic distinction between the two approaches using a hypothetical situation. If learners need to read specialized books in English, the classic ESP approach will teach effective reading by reading; the second approach will use an integration of skills, namely, speaking, listening, writing as well as reading per se to teach effective reading. Skills integration is not be confused with the teaching of General English. For General English, teaching the four skills is the aim of the course; in the integrated skills approach we use speaking, listening and writing not as ends but as means to teach reading, as we shall see later.

When considering the implications of the two approaches, I will refer briefly to the well-known classic ESP approach. On the other hand, the integrated skills approach is not only fairly recent but also more controversial; therefore, it will be considered at greater length. Let us now consider the implications of the two approaches.

The classic ESP approach uses the criterion of duplication to
select texts and activities. Thus, each class will be a mirror of
the expected performance of the student at the end of the course.
In terms of materials selection, this means that texts from
specialist books form the basis of the corresponding units of the
English course. In terms of discourse, this usually implies that
students will be taught to identify rhetorical features and cohesive
markers of scientific discourse.

The classic ESP approach seems to have reached its full
development at the Universities of Birmingham and of Bogota, where
it came to be called *team-teaching*. In team-teaching, the English
teacher will work together with the biology teacher, for example,
and the two teachers will use the same material simultaneously for
both English and biology classes. The language teacher is expected
to learn the subject matter on the same terms as the students.
Therefore, there is a need for close collaboration between subject
and language teachers to the point that the work of the two teachers
becomes an integrated whole. Usually, there are no separate
examinations either — the biology teacher and the English teacher
work together to prepare and correct tests.

The validity of the approach is undeniable. As Amparo Leyva,
from the University of Bogota, and Tim Johns, from the University
of Birmingham, stated in the V ENPULI in São Paulo last July, the
system is effective and time-saving. This integration between
subject and language work has also enabled failure rates to drop
from 25% to 5%.

However effective, the classic ESP approach has been
criticized on various grounds. John Holmes, *inter alia*, in a lecture
in Florianópolis in 1982 ("Beyond Notions and Functions") has raised

the problem of the use of only objective factual texts in ESP
classes;

> *If we confine ourselves to the factual*
> *texts then our students may leave the ESP*
> *course with the mistaken impression that*
> *they can read any kind of text. When they*
> *encounter an 'ideas' text they may*
> *experience some disillusion!*

I take the problem to lie deeper than just disillusion, as
I hope to demonstrate in the two ways we can approach discourse.
Christopher Candlin[2] has remarked that discourse analysis can
be understood in terms of analysing PRODUCT or in terms of analysing
PROCESS. In the former, that is discourse as a product, we are
concerned with revealing the surface and underlying structures of a
text, at a level beyond the sentence. In the latter, that is
discourse as process, we are concerned with the interaction between
Writer and Reader. When we consider the interaction between writer
and reader and, more specifically, the ideological meaning implied
by the author, we realize that ESP cannot approach discourse only
as PRODUCT. In a country like ours, dominated by imperialistic
cultures, it is necessary to select not only factual texts but also
ideas texts. It is imperative to train our students to analyse the
material critically, to detect hidden purposes or underlying
motives. If we stick to factual texts and to discourse as a
product to cater for the students' need to read their specialisms
in English, we will run the risk of buying foreigners' information
at the heavy price of our culture and our identity.

Some people claim that it is difficult for a beginner to detect bias, let alone underlying motives on subliminal persuation. I've been writing materials to introduce critical reading to beginners and my answer to the contention is "no." Even though time does not allow us to go into details now, I can briefly show you that this is quite possible. If we take, for example, two different advertisements on the same product and have students compare them, they can easily detect bias and techniques of persuasion. The use of advertisements from magazines of specialized readership seems to me very pertinent from two points of view. From the linguistic point of view, it is the paramount example of loaded language. From another point of view, a great amount of information on technological and scientific advances enters the country via journals and advertisements in magazines of specialized readership.

My attempts in the teaching of critical reading are far from conclusive. In fact, critical reading is still a gray area in ESP. However, as mentioned before, the teaching of critical reading is imperative, as we do not want our student to be a passive recipient of information.

Let us now consider what the integrated skills approach sets out to do in relation to text types, skills integration and classroom techniques.

Involvement, integration and interaction are the key-words in the integrated skill approach.

It is a well-known fact that the more involved we are, the more deeply and richly we process information. Contrary to what behaviourists claim, all real learning involves the learner's thinking processes. This idea is developed in the cognitive theory, by which the learner is not a passive receiver of learning but is

actively involved; he uses his existing knowledge, his schema, to make sense of new information. Effective learning will only take place if the thinking processes of the learner are involved. The Affective Theory adds an extra dimension to the Cognitive Theory and argues that learning must not only involve the learner's cognitive capacity, but also his emotions, *lato sensu.*[3] Learning is an emotional experience. Thus, effective learning depends on the learner's degree of personal involvement in the content and methodology of the learning process. How can this involvement be achieved? Alan Waters and Tom Hutchinson feel many current ESP materials fail to engage the learner's interest or to challenge his true abilities. They write:

> *Texts are so deadly boring and activities reveal such a gross lack of imagination, it is almost as if an implicit assumption exists that science and technology are incapable of being approached in more interesting ways... This is a serious problem, especially when we remember that ESP students are not very motivated. Moreover, the ESP student expects of the content something like the degree of interest and relevance he is accostumed to in his study or work situation.*[4]

Waters and Hutchinson also claim that there are two essential features of materials if ESP learners are to be involved and motivated: the right type of content and the right methodology.

Now what is the right type of content? Many ESP materials contain highly specialized texts which the teacher cannot cope with, however valid they may be for the students' needs. Try to

imagine this situation: the teacher cannot cope with such highly
specialized material, the students cannot cope with the language
— the result is an inevitable communication breakdown and no
interaction at all. Moreover, highly specialized texts are usually
dull, expository pieces. As Hutchinson and Waters say, the students
probably have to read very dull texts for their work or studies,
but they have some strong motivation to do so. But this does not
imply that their motivation will carry over to the ESP classroom
or that they will accept to learn from dull texts in ESP. The
integrated skills approach holds there should be a greater variety
of text sources in ESP materials such as newspaper and magazine
articles, consumer information leaflets, advertisements, etc.,
related to the student's specialism. The greater the variety of
text sources the materials contain, the richer discourse also tends
to be.

It is not only a matter of changing sources. Hutchinson and
Waters believe subject matter should be something the learners are
reasonably familiar with *but* given a new angle: human, unusual,
controversial, and humorous perspectives are likely to involve and
motivate the students. In other words, texts sould be interesting.
In fact, reading comprehension tests have revealed that the more
interesting story produced higher comprehension scores. But, as
Downing and Leong state in their *Psychology of Reading*, "the
desirability of making reading interesting is not a controversial
issue in theory. In practice it is often ignored...."[5] What the
ESP teacher requires is a text that will generate language work
and interaction.This can hardly be achieved with highly specialized
or expository pieces. Now if the teacher selects a controversial
text for example, students will respond and interact.

Let us consider now the issue of skills. As mentioned before, in the classic-ESP approach we teach reading by reading. However, Waters and Hutchinson take this

> *to run counter to views about the nature of reading such as those of e.g. Frank Smith, 'In reading, what the brain tells the eyes is more important than what the eyes tell the brain'.*[6]

In other words, it is information inside your head, your schema, that enables you to read. Say Waters and Hutchinson:

> *... it doesn't matter where that information comes from or how it gets there. This is taken to imply that the teacher might use work involving any of the other skill areas (listening, speaking and writing) as well as reading per se to teach effective reading... A narrow focus on reading is boring... The criterion for incorporating an activity into an ESP course should not be whether it duplicates what the student will do in the target situation, but whether and to what extent it increases the efficiency and affectiveness of the ESP learning situation... The target situation analysis guides us concerning what we teach but how we teach must be decided by reference to the potential and constraints of the teaching-learning situation.*[7]

There is a further argument for the trend towards integrated
skills. The problem in language teaching is how to give the students
sufficient opportunity to reconstruct and revive meanings and
materials in the foreign language. A way of rehearsing or
recirculating that information is to exploit the same theme using
spoken and writen material, reading, listening and discussion
skills.[8]

Moreover, using the language to perform oral and written
communication gives the student a sense of achievement. Downing and
Leong, in *Psychology of Reading*, have remarked that achievement
itself is an intrinsic motivation. The argument is carried further:

> *The role of the reading teacher is to
> provide materials and instruction that will
> enable the student to see his own progress....
> If the teacher ensures success, dramatic
> changes occur in their self-concepts and a
> benign circle of confidence begins* .[9]

Our own experience as teachers enables us to assess the importance
of a learner's feeling of accomplishment. McDonough has in fact
remarked that a pupil's feeling of pride in accomplishment or shame
in failure is not only linked backwards to the causes he perceives,
but also forwards to how hard he will strive at the next task.[10]
Engineering success, making the student feel that he has accomplished
something are not new concepts in language teaching. For example, in
the Audio-Visual method, based on behaviourism,

teachers are encouraged to show approval
for each and every correct performance by
the learners, and every drill is designed
so that the possibility of making mistakes
is minimized thus engineering success for
the students. What food was for the cat,
success is for the pupils.[11]

The difference is that recent theories tend to maximize intrinsic motivation.

However, the use of the oral component of language to teach reading is a controversial issue. Grellet and Smith, *inter alia*, take extreme views. Smith very pointedly remarks that we can read without producing or imagining sounds.[12] In fact, subvocalization does not always match the movements of our eyes. It is a well-known fact that, when we read, our eyes do not follow each word of the text one after the other — many words or expressions are simply skipped; we go back to check something or forward to confirm some of our hypotheses, which is impossible when we are reading aloud. Grellet goes further, claiming that the first thing to consider is that reading is a silent activity — students should not read aloud, which would tend to give them the impression that all texts are to be read at the same speed.[13] Smith and Grellet's arguments seemed to me unrefutale, at least in theory. However, the reality of the classroom proved quite the contrary. Not only do students read better when there is subvocalization, but they also find it more enjoyable. Maria Alzira Nobre's PhD dissertation seems to throw some light on the issue. Experiments with different groups of learners led her to conclude that for beginners or less proficient groups

> *a recodificação da fala, isto é, a trans-*
> *formação dos símbolos escritos em um có-*
> *digo semelhante ao da fala tem sido con-*
> *siderada um estágio essencial no processo*
> *da leitura... como uma estratégia usada*
> *pelo leitor para prolongar a permanência*
> *da mensagem na memória imediata, enquanto*
> *os processos cognitivos decifram o signi-*
> *ficado da mensagem... Concluiu-se que os*
> *sujeitos usam a recodificação como um au-*
> *xílio à memória, quando lendo.*[14]

Widdowson, *inter alia*, provides further argument for the use of integrated skills or holist methods to teach reading. He makes the point that both reading and writing can be taught together with a mutual benefit in an "integrated skills approach."[15] This idea that the best way to become sensitive to interpretation is to participate in building a text is not actually a new one, as we have already seen it used in literature classes.

There is another side to the argument. If we teach reading only by reading, how can the teacher evaluate comprehension? The pedagogic practice is to ask comprehension or True or False questions. However, the technique of asking questions after a reading or a listening task is a testing technique not a teaching technique. We might also ask, "how true to life is it to answer comprehension or T – F questions after a text?" What do we normally do after reading something? We may discuss it, reject or accept the ideas in the text, we may apply the information in some other context but we are not asked to show our ability to reproduce what we have read. So it has been a common practice with the integrated-skills approach to give students not questions but

problems related to the topic of the text; those problems require the use of English to be solved, this way the content is mobilized to generate language work. Another practice is to ask information-transfer questions, because as Hutchinson and Waters point out, all *real* learning, especially language learning, requires the learner to transfer knowledge learned in one situation to another. Now, problem-solving or information-transfer questions require one to use the language in writing or speaking.

I mentioned previously that the key-words in this approach are students' involvement, skills integration and interaction. We've considered students' involvement and skills integration. Let us now consider interaction, which is obviously related to classroom dynamics. But let us first draw a distinction between input and intake, as explained by Dick Allwright.

> *Learners in the classroom listen to each other as well as to the teacher, and are exposed, potentially, to much more language than is focused on in the teaching... Content is the sum of what if taught, that is input, and what is available to be learned, that is intake, as a result of the interactive nature of classroom events... A text would be* input... *But if the teacher explains something in English, the language of that explanation is available to be learned; it constitutes* intake. *Similarly, all things that get said when errors are being corrected constitute intake, as do all the things said in the second language by other learners.*[16]

It follows that the greater the interaction in the classroom, the greater the intake.

Traditional classroom techniques tend to use frontal teaching or the "shooting star pattern."[17] This implies that the teacher will be talking most of the time and content will be reduced only to input from the teacher; the possibilities of learning from intake will be excluded. There is only one form of communication in frontal teaching — classroom discourse, which is very little interactive because it is always directed by one party — the teacher. Frontal teaching has its advantages, but cannot cater for all the activities that language learning requires. It is also uncreative, because the formal setting does not foster the generation of ideas. Moreover, it gives individual students very little time to communicate. Talk via the teacher means that the teacher will be talking for at least 50% of the time. This leaves in a lesson at most 20 minutes for the students. With say, 20 students in class, this gives them a maximum of 1 minute in which to say something. This obviously results in teacher's overload and students' underinvolvement. As a result, many teachers and course writers have been looking for activities for small subgroups in the language classroom, so that students may learn both from input and intake.

Group work has been used in teaching for many years now, but its application to language teaching is a relatively new concept. Group work is much more interactive because students do not communicate only via the teacher. In fact, every one is equidistant from the material, from the teacher and from each other. The teacher can also give individuals more attention. Co-

operative groups are usually faster than individuals at solving problems; one of the reasons for this is that there are more sources of ideas and the memory load for steps in that solution is also shared. Another argument for group work is productivity, that is, the increased opportunity for meaningful and fairly realistic language use in simultaneous groups compared to the class acting as a whole. Students are also more relaxed in groups because of the lower level of stress associated with performing in a small group as against performing before a large class. Group work cannot be overdone but its use in ESP classrooms for problem-solving activities has revealed dramatic improvements both in students' performance and in the emotional climate in the classroom. On the other hand, group work does not mean a total lack of control by the teacher. It implies a partial shifting of control from the teacher to the students.

As mentioned before, the classic ESP approach teaches reading only by reading. This may narrow down the possibility of classroom interaction and of learning also by intake. Why not capitalizing on both input and intake to make learning more effective? Learner underinvolvement is not desirable. Why should teachers be doing work learners could more profitably do for themselves? Why should teachers provide all the answers? Isn't it more effective to make the student think and work out the answers? Why should we insist only on deductive teaching? Isn't it better if the teacher helped the student to organize his or her own knowledge?

Another feature of classroom dynamics not only in ESP but also in recent language teaching is the frequent use of role-play

and simulations. McDonough has remarked that

> *The concept of social role and role play*
> *and their use in education is by no*
> *means a new one; what is perhaps new is*
> *the use of this quasi-dramatic device*
> *with people who by definition do not*
> *have the linguistic skills to express*
> *the conventional expectations for that*
> *role, in order to develop just those*
> *skills.*[18]

The reason for this emphasis on role-play and simulations becomes obvious when we compare first and second language acquisition. First language develops with personality. Says McDonough,

> *In acquiring their first language, as*
> *well as learning the language code and*
> *how to use it to make utterances, children*
> *learn many other associated things, such*
> *as the management of social relationships*
> *and interaction, ways of categorizing and*
> *viewing the world and so on.*[19]

The adult learner masters all this and has a pretty well formed personality, yet his utterances in the second language are baby-like. This can be very uncomfortable and make adult learners sensitive about using English when they are functioning as themselves. In role play and simulations they will use English freely because they are not acting as themselves. There is, so to

speak, a Jungian mask that the student can hide behind. Given the role to hide behind, he can perform much better.

The use of non-verbal discourse and visuals seem to be an important component of ESP reading classes; however, not much has been done in this respect. Not only are visuals motivating, but also an important part of second language learning. Bransford and Johnson showed that pictorial information can dramatically influence our ability to comprehend and retain prose passages. A difficult passage was given to students with and without a picture.Without the picture, there was less comprehension and less retention. With the picture there was more comprehension and more retention.[20] The reason for this seems to be clear. The process of comprehension involves the schemata that the reader brings to the reading passage as well as the information presented in the text (schemata are units of long-term memory, units of organized knowledge that individuals have about their world). Pictures are a way of activating or instantiating this schema and of relating new information quickly and effectively to stored information. This way, the amount of information handling can be reduced to a more manageable level.

Frequent questioning seems to be another feature of classroom dynamics in recent ESP teaching. Hutchinson and Waters believe that questions are an essential element in classroom work. In introducing a topic,questions help to reveal what the learner already knows. In other words, by instantiating the learner's schema, by relating new information to what the learners already know, we maximize perception and consequent retention. This is again grounded on the fact that comprehension is an interactive process involving both the text and what the reader brings to the text in the way of

background knowledge. At each main stage in the lesson, frequent questioning checks the level of understanding so far reached. Moreover, frequent questions help to involve the learner and, above all, to build up the habit of questioning in the learner himself.

Referring back to my initial assertion, ESP courses are based on students' needs. I hope it has become clear that the classic ESP approach gears the effectiveness of the course to a compliance with those needs. On the other hand, more recent approaches take account not only of students' needs, but also of their expectations, their motivation, their possible contributions and, above all, of what makes for an effective and pleasant learning situation. In other words, learning is seen as involving the whole person. This seems to be, in fact, the essence of the Communicative Approach to language teaching, which is based on the Cognitive and Affective views of language learning. Recent ESP teaching has been particularly associated with this approach.

The examination of needs as well as of the social-psychological factors involved in learning comes together with a trend towards a greater degree of realism in the classroom in terms of texts included, the types of activities and the kinds of interaction between people.

By now you've probably realized the paradox between the title of this lecture — Recent Trends in ESP Teaching — and the number of times I said "this is not a new concept." In fact, more recent approaches do not seem to advocate anything new; rather they seem to draw attention to a change of emphasis that is already discernible: the humanization of the ESP learning process.

To close, I would like to acknowledge the contribution of Alan Waters and Tom Hutchinson, from the University of Lancaster,

whose views on communicative language teaching inform this paper. I cannot always provide the reference, for a great deal of the information was obtained in personal exchange of ideas.

My thanks are also due to Reinildes Braga, Luiz Otávio de Souza e Sônia Pimenta, our M.A. students whose theses I'm most pleased to supervise and who have provided valuable insights into gray areas of the reading process, such as the interconnection of verbal and non-verbal discourses, the cognitive and affective bases of reading as well as critical reading.

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NOTES

[1] When I expand on this basic distinction, I do not mean to imply that ESP teaching consists of two mutually exclusive and monolithic sets of pedagogic principles.

[2] C.N. Candlin, "Discourse Analysis" (University of Lancaster, mimeo).

[3] The contribution of the Cognitive and Affective Theories to language teaching is explained by Tom Hutchinson and Alan Waters in "Issues in ESP: Learning Theories" (University of Lancaster, mimeo).

[4] Tom Hutchinson and Alan Waters, "Creativity in ESP Materials or 'Hello! I'm a Blood Cell'" (University of Lancaster, mimeo), p. 13.

[5] J. Downing & Che Kan Leong, *Psychology of Reading* (New York: Macmillan Publishing Co., 1982), pp. 252-53.

[6] Tom Hutchinson and Alan Waters, "How Communicative in ESP?" (17th International IATEFL Conference, London, April 1983) p. 5.

[7] Hutchinson and Waters, p. 6.

[8] Steven McDonough, *Psychology in Foreign Language Teaching* (London: George Allen and Unwin Ltd., 1981), p. 70.

[9] Downing & Leong, p. 246.

[10] McDonough, p. 148.

[11] McDonough, p. 11.

[12] Frank Smith, *Reading* (Cambridge University Press, 1978), Chapter 2.

[13] Françoise Grellet, *Developing Reading Skills* (Cambridge University Press, 1981), p. 10.

[14] Maria Alzira Nobre, "Recodificação e o Processo de Leitura: Um Estudo do Processamento Lingüístico por Falantes não Nativos do Inglês" (V ENPULI, São Paulo, July 1983).

[15] H.G. Widdowson, *Teaching Language as Communication* (Oxford University Press, 1978).

[16] Allwright, "What do We Want Teaching Materials for?" (ELT JOURNAL, 36, October 1981).

[17] Tom Hutchinson, "Group Work: Some General Hints" (University of Lancaster, mimeo).

[18] McDonough, *Psychology in Foreign Language Teaching*, p. 80.

[19] McDonough, p. 34.

[20] Danny R. Moates & Gary M. Schumacher, An *Introduction to Cognitive Psychology* (Belmont, California: Wadsworth Publishing Company, 1980), p. 186.

TENNESSEE WILLIAMS: O MITO DO PASSADO

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É difícil definir o lugar de Tennessee Williams no grupo de escritores que constituem o chamado "Southern Renaissance". Dramaturgo controvertido, começou a carreira em 1945 com a bem sucedida peça *The Glass Menagerie*(tradução portuguesa *A Margem da Vida*), apresentando em seguida *A Streetcar Named Desire* (1947,*Um bonde chamado desejo*), peça vencedora do Prêmio Pulitzer.Com *Cat on a Hot Tin Roof* (1955, *Gato em teto de zinco quente*) Williams parecia fazer jus ao conceito de maior dramaturgo americano depois de Eugene O'Neill. Sua carreira, no entanto, não seguiu um ritmo constante, nem de produção, nem de qualidade, nem de recepção. A tendência à repetição na caracterização e motivos, o uso abusivo de símbolos e de cenas que servem à exposição mas destroem a teatralidade, o caráter excessivamente retórico e pomposo de certas falas, são elementos constantemente criticados. Mas o que não pode ser negado, apesar de todas as justificadas críticas, é que algumas das peças de Tennessee Williams se contam entre os melhores textos do teatro americano. É o caso de *A Streetcar Named Desire* e *The Glass Menagerie*, que abordarei neste trabalho, tratando de apresentar o que me parece constituir o eixo temático que determina a escolha de todos os elementos estruturais: o mito do passado. É aqui que se pode estabelecer o ponto de contato entre o dramaturgo e os demais nomes do "Renascimento do Sul", pois a relação homem/tempo/ passado/história constitui a dominante temática de muitos textos, entre outros, de Faulkner, Robert Penn Warren, Thomas Wolfe,

Lillian Hellman.

Já foi notado por vários críticos, entre eles Allen Tate, que a visão de mundo dos escritores sulistas está marcada por uma aguda consciência da História. Em seu ensaio "The Profession of Letters in the South", Tate afirma que esses autores dramatizam "a conseqüência psíquica da mudança no mundo ocidental de uma per- cepção tradicional da existência para o modo histórico".[1]

Vamos deter-nos um instante para estabelecer as diferenças entre esses dois modos de percepção. Em *O Mito do Eterno Retorno*, Mircea Eliade apresenta uma introdução a uma filosofia da história que será muito pertinente para nossa discussão dos textos de Tennessee Williams. Nesse ensaio, o antropólogo diferencia as so- ciedades tradicionais ou primitivas das modernas exatamente por suas formas diferentes de lidar com a questão da História.

As sociedades tradicionais ou pré-modernas se caracterizam, segundo Eliade, por "sua revolta contra o tempo concreto, históri- co, por sua nostalgia de um regresso periódico ao tempo mítico das origens, à Idade do Ouro".[2] Dessa revolta resulta a necessidade sentida pelo homem arcaico de obliterar o tempo, de se manter num presente contínuo, numa atemporalidade, o que o leva a restaurar em forma periódica, através de rituais, o ato da criação do Mundo, que aconteceu "in illo tempore". Dessa forma, o tempo se renova constantemente, o que é revelado nas muitas cerimônias do Ano Novo nas sociedades primitivas: os rituais, ao repetirem o ato da Cria- ção, asseguram o renascimento do mundo e do homem. Na medida em que o ato cosmogônico se repete todos os anos, a regeneração é contí- nua, o tempo se renova — perde sua ação corrosiva. O tempo passado é anulado, a história é abolida.

A necessidade de retorno ao paraíso primordial, arquetípico,

revela, segundo Eliade, que o homem primitivo também acabava "por descobrir a irreversibilidade dos acontecimentos, por registrar a história".[3] A noção de que houve uma Queda do Paraíso significa exatamente que o pecado, a transgressão da ordem em que se baseava a harmonia primordial,institui uma nova ordem, desvinculada do modelo divino, do sagrado. A queda do Paraíso implica em entrar no tempo, em instaurar uma "seqüência de acontecimentos pessoais" cujo conjunto constitui a história.[4] Para se libertar da história, o homem primitivo desvaloriza o tempo, tratando de manter um sistema em que nada é casual ou pessoal, mas tudo tem um sentido transcendente, pois repete o Arquétipo. Dessa forma, não há devir, o mundo é imutável. O caráter cíclico do tempo anula sua irreversibilidade. Também as crenças messiânicas na regeneração final do mundo revelam a mesma tentativa de abolir o tempo. A atitude anti-histórica, aqui, não se baseia na concepção de uma reversibilidade periódica do tempo, mas sim na limitação da história no tempo. A história é aceita mas só porque ela cessará um dia e o Paraíso primordial será definitivamente restaurado. Essa é outra forma de conferir um sentido à condição humana. O motivo do "fim do mundo" substitui o do "eterno retorno", mas o objetivo final é o mesmo. O Apocalipse justifica a existência do homem, pois o sofrimento passa a ser visto apenas como uma etapa a ser cumprida antes da restauração. O tempo, para o Cristianismo, é real, pois a Redenção final lhe confere um sentido.

O homem moderno, ao contrário, é o ser essencialmente histórico. Embora a atitude anti-histórica continue a imperar em várias sociedades, o que distingue o homem moderno do tradicional é a sua concepção do tempo. A consciência da irreversibilidade do acontecimento histórico e a constatação de sua casualidade resultam no ter-

ror do Absurdo e do nada. Desprovida de um sentido último, trans-
cendente, a história se revela apenas como uma sucessão de aconte-
cimentos. Daí a nostalgia do Paraíso Perdido e do mito da repetição
eterna que caracterizam o homem moderno, que busca inutilmente anu-
lar sua consciência histórica esquecendo o tempo ou conferindo-lhe
um sentido transcendente. Resultam essas tentativas na revolta e no
desespero, pois o homem moderno se percebe incapaz de reintegrar o
tempo histórico no tempo cósmico. Daí acompanhá-lo sempre uma aguda
consciência da Queda, perante a qual não há fuga possível.

É esse o substrato mítico a partir do qual se projeta a con-
cepção de tempo desenvolvida nas duas peças de Tennessee Williams,
que se estruturam com base nas oposições passado/presente, paraíso
perdido/realidade atual. Em ambos os textos, os personagens são de-
finidos em termos de sua relação com o tempo, ou seja, sua capaci-
dade ou incapacidade de aceitação ou adaptação ao processo histó-
rico. Os símbolos e os recursos expressionistas usados servem ao
mesmo objetivo: reforçar os motivos da fragmentação e do desloca-
mento, revelando o desespero do homem que se descobre preso na ar-
madilha do tempo.

Essa profunda consciência do tempo, recorrente nas obras
dos escritores do Sul, pode ser pelo menos em parte explicada pela
peculiaridade da experiência histórica daquela região. Sociedade
agrária com características únicas nos Estados Unidos, o Sul foi
devastado pela guerra civil e dominado pelo Norte industrializado,
sendo a única região do país que enfrentou derrotas e submissão
que geraram profundas mudanças no sistema sócio-econômico. É pecu-
liar ao Sul, portanto, a experiência da abrupta transição entre
dois tipos de sociedade, transição que não ocorreu em outras regiões
dos Estados Unidos. São também específicas a essa região as resul-

tantes noção de Queda, queda do paraíso branco dos senhores de terra,
e de perda da aparente harmonia de uma sociedade baseada em rígidos
códigos de hierarquia e tradição aristocrática. Os valores agrários
do Sul entraram em choque com o espírito industrial imposto pelo
Norte. A derrota na guerra civil levou à derrocada do sistema sócio-
econômico, à crise de valores, à decadência e deterioração. Como con-
seqüência, advem a sensação de deslocamento vivenciada pelo sulista,
deparado com uma sociedade em rápida mudança e percebendo a impossi-
bilidade de deter o processo e retornar ao paraíso perdido, à Idade
de Ouro do período pré-guerra civil.

Outro aspecto a ser considerado em relação ao que podemos
chamar de Mito da Queda é o que constitui, aos olhos dos sulistas,
a nódoa, o pecado, a culpa que a sociedade branca deve expiar: a
escravidão e o racismo. Resultante em parte da tradição puritana
que acredita ser o mal característica inerente ao ser humano, a no-
ção da culpa original— que de coletiva passa a ser assumida indi-
vidualmente — marca a visão de mundo do sulista e encontra expres-
são na literatura da região. Basta lembrar o romance *Light in
August*, de Faulkner, e a peça *The Little Foxes*, de Lillian Hellman,
em que são desenvolvidas as oposições branco x negro, norte x sul,
sociedade agrária x sociedade industrial, dominação x submissão,
culpa x expiação, passado x presente.

A consciência da problemática histórica é tão elaborada en-
tre os escritores do sul que até mesmo a nível teórico há um posi-
cionamento do grupo que criou a revista *The Fugitive*, em Nashville,
Tennessee. O título do livro *I'll Take My Stand: The South and the
Agrarian Tradition, by Twelve Southerners*, de 1930, é mais do que
claro. Os autores discutem a transformação da sociedade agrária na
sociedade industrializada moderna, e revelam o desejo de recuperar

a relação entre o homem e a Natureza, única forma de garantir a totalidade da experiência humana. Consideram que o homem perdeu sua integridade ao deixar de tomar o mundo natural como a norma pela qual se definia seu status finito e sua dependência com relação a Deus. Daí a fragmentação espiritual da sociedade moderna e a perda de identidade do homem. Restaria a ele apenas uma forma de resgatá-la: a tradição, que passa a ter função reguladora, assegurando a manutenção da ligação com o passado.

Inúmeros outros textos, dramáticos ou de ficção apresentam o colapso dos valores do velho Sul, revelando a quase obsessão dos escritores sulistas no tratamento das questões do passado e da história, a preocupação com a tradição e a nostalgia do paraíso perdido. Verifica-se, portanto, a correção da afirmação de Roland Barthes de que "o mito é um determinado social, um reflexo",[5] e "constitui a armadura de um mundo de cultura, inclusive sua política e sua imagem do universo".[6]

Vejamos então de que forma o substrato mítico nas peças de Tennessee Williams remete a um conteúdo ideológico ligado à cultura do Sul dos Estados Unidos, revelando as marcas sociais na visão de mundo do autor.

As duas peças de que trataremos aqui dramatizam a crise de personagens que vivenciam a transição e que, ainda num estágio de pré-consciência, experimentam a angústia do ser histórico mas ainda não se reconhecem como tal. Como conseqüência advêm a busca de fúteis mecanismos de evasão que pudessem liberá-los da desesperante e iminente tomada de consciência, a incapacidade de lidar efetivamente com a questão do tempo e a deterioração resultante da não adaptação ao momento histórico.

A deterioração do indivíduo ou do grupo familiar são portan-

to ao mesmo tempo resultado e metáfora da decadência do Sul.

No caso de A *Streetcar Named Desire*, retrata-se a fase fi-
nal do processo de deterioração psíquica de uma personagem, Blanche
Du Bois, que combina o fascínio e a decadência da aristocracia agrá-
ria.

Blanche representa a própria contradição do Sul, sendo sua
caracterização baseada nas dualidades pureza/sujeira, aparência/
realidade, passado/presente.

O nome da personagem remete-nos já a uma série de associa-
ções: primeiro, o fato de que ela tenha um nome francês, o que su-
gere o refinamento de sua origem e também o distanciamento da aris-
tocracia branca com relação às outras classes, pois inclusive fazia
uso de outra língua; o nome é também sugestivo a partir das associa-
ções de Blanche com pureza e inocência e de Du Bois com bosque, na-
tureza. Parece-me possível estabelecer ainda uma ligação com histó-
rias infantis, o que reforçaria a noção de pureza, por um lado, e
de fantasia e ilusão, por outro. Outros elementos da caracteriza-
ção de Blanche se colocam nos mesmos campos semânticos: ela se veste
constantemente de branco e pertence ao signo de Virgem.

Todas essas associações com a pureza serão pouco a pouco co-
locadas em oposição a informações sobre o passado de Blanche forne-
cidas por ela mesma ou descobertas por seu cunhado Stanley. Daí
estabelecer-se a dualidade pureza/sujeira, sendo essa última rela-
cionada à transgressão do código moral da sociedade do Sul. Blanche
representa, no meio social, a poluição sexual, sendo a simbologia
sexual associada à sua figura um dos elementos mais importantes do
texto.

Casando-se muito jovem, Blanche descobre que seu marido man-
tinha relações homossexuais com um homem mais velho. A primeira

transgressão, a da homossexualidade, desencadeará todo um processo
destrutivo que culminará em morte e loucura: o marido se mata com
um tiro depois que Blanche declara, enquanto dançam uma polka, que
sente nojo dele. Punida a transgressão pela morte, cria-se no en-
tanto em Blanche um sentimento de culpa que a leva a promiscuir-se
com alunos ou jovens soldados, até ser expulsa de um hotel de baixa
categoria, perder o emprego e ter de sair da cidade.

Parece que houve aqui uma série de transgressões: a do homos-
sexualismo, punida pela auto-destruição; a da mulher, que questiona
o homem, subvertendo a ordem tradicional do discurso passivo femini-
no e a promiscuidade, que pune a mulher ao fazer dela o objeto de-
sejado mas desprezado pelo homem, voltando-se, portanto, à ordem
anterior de dominação masculina. Aparentemente, a promiscuidade de
Blanche resulta de sua necessidade de expiação pela morte do mari-
do (por tê-lo questionado e humilhado) mas seu conflito parece re-
meter a raízes mais profundas que se ligam à repressiva formação
puritana muitas vezes caricaturada através das figuras femininas de
Tennessee Williams.

O próprio título da peça se enquadra na mesma simbologia:
para chegar ao bairro onde mora a irmã — Campos Elíseos, o paraíso
da mitologia grega — Blanche toma "o bonde chamado Desejo" e depois
o bonde Cemitérios. Em uma cena já no final da peça, ela afirma
que o contrário do desejo é a morte. Sugere-se aqui o dualismo pul-
sional do ser humano — as pulsões de vida e de morte — Eros e
Tânatos — termos utilizados por Freud na elaboração de sua teoria
das pulsões.

Revela-se então o conflito entre o desejo de satisfação
sexual e a repressão da sociedade que, para manter sua estabilidade,
elimina qualquer atividade diferenciadora que se afaste do código.

Daí talvez a crise de valores de Blanche, e seu sentimento de culpa que se revela em uma compulsão por eliminar a sujeira através de banhos constantes. O fato de que a ordem dos bondes tomados seja primeiro o Desejo e depois o Cemitérios sugere também que, numa sociedade repressiva, a pulsão de morte se sobrepõe à do prazer. A transgressão sexual da norma deve ser punida - pela morte ou pela loucura. A sociedade, nesse último caso, aliena o transgressor para poder recuperar a estabilidade, fato que se repete duas vezes na vida de Blanche: ela tem de sair de sua cidade e depois é internada pela irmã. O próprio nome da cidade natal de Blanche é significativo: Laurel. Sabe-se que o louro é uma árvore consagrada a Apolo, sendo suas folhas usadas em coroas comemorativas de vitórias. É curioso notar que o ato vitorioso do herói pressupunha uma série de vitórias interiores sobre as forças negativas e inferiores instintivas. Ao transgredir o código e poluir a comunidade, Blanche tem de se afastar de Laurel. Outro desenvolvimento possível nessa linha de associação é o fato de o louro ser consagrado a Apolo — o deus do sol. Voltaremos posteriormente a isso ao analisar   a simbologia da luz em relação à figura de Blanche. Mas nesse momento gostaria apenas de ressaltar o fato de que Blanche se define como uma criatura da noite, o que nos remete a novas associações com a morte e reafirma o caráter contraditório da personagem através do dualismo branco/negro.

Confirmando a hipótese que estamos desenvolvendo, em uma das cenas com Mitch Blanche se refere a si mesma, em francês, como a Dama das Camélias. A alusão à peça de Alexandre Dumas, Fils retoma a idéia da transgressão sexual por parte da mulher, transgressão essa que culmina com a morte da poluidora. No final de A *Streetcar*, quando as ilusões de Blanche com relação a Mitch se

desmoronam, ouve-se o pregão de uma vendedora de flores que grita
"Flores para los muertos"!

A etapa final da desintegração de Blanche é também vinculada
ao sexo. Ela ameaça a estabilidade do casal Kowalski,pois não pode
compreender o fato de Stella viver com um homem como Stanley, que
ela considera um bruto, um animal. Stanley, aliás, é do signo de
Capricórnio. Stanley acelera o processo destrutivo vivido por
Blanche, primeiro ao contar a Mitch e Stella tudo o que descobrira
sobre ela, depois dando-lhe de presente no dia   aniversário uma
passagem de ônibus para Laurel, e finalmente estuprando-a. Isso
precipita Blanche na confusão mental, para o que contribui a atitu-
de de Stella. Esta, para preservar seu casamento com Stanley, pre-
fere não acreditar que houve um estupro, e decide internar a irmã.
A loucura de Blanche adquire um significado de punição ao ser
apresentada como o resultado natural do processo desencadeado
pela transgressão. De qualquer forma, o equilíbrio é restaurado
quando o elemento de desestabilização é afastado.

Ironicamente a relação de Stella e Stanley é totalmente base-
ada no sexo. Embora Stella também tenha quebrado uma norma casando-
se fora de sua classe social, o que Blanche lhe cobra repetidas
vezes, não há transgressão, pois ela passa a integrar a classe do
marido e atinge estabilidade, pelo menos até a chegada da irmã.
Blanche, ao contrário, não consegue se integrar em nenhum grupo,
simbolizando a instabilidade, a dualidade, a contradição e a alie-
nação do sulista.

O processo de deterioração individual de Blanche, estabele-
ce um paralelo com a história do Sul, que é sintetizado metafori-
camente na personagem. Ao contrário de Stella, que saíra cedo de
Laurel   e   se   casara   com   Stanley   em   New   Orleans,

Blanche acompanha e vive de perto o processo de decadência do Sul, representado pela perda da propriedade da família e pela morte sucessiva dos familiares.

A propriedade se chamava Belle Rêve — em francês, o belo sonho. O caráter idílico do passado é sugerido pelo nome da fazenda, acentuando-se assim a idéia de beleza e refinamento, mas também de ilusão e perda. Da mesma forma, todas as mortes na família e a entrega da propriedade para pagar empréstimos feitos com a garantia da terra indicam a destruição do clã patriarcal. Agora que a fazenda foi perdida, o nome se torna nostálgico. Como o Sul das enormes fazendas, tudo não passou de um belo sonho, do ponto de vista da aristocracia branca agrária. A queda é irreversível, o "paraíso" é irrecuperável, pois a História não pode ser mudada. Não há redenção possível após a transgressão. Blanche, que de uma certa forma personifica a História, fez sua história da qual não pode se libertar. A lembrança de Belle Rêve — e também a da polka que dançara com o marido e a do tiro com que ele se matara — a acompanham sempre. Tanto é impossível recuperar o passado paradisíaco quanto fugir da consciência da queda. O ato individual instaura a História, essa é irreversível, e a consciência desse fato leva ao desespero.

Blanche, no entanto, procura de todas as formas mascarar a realidade com um jogo de aparências e ilusão. Daí suas jóias e peles artificiais, a falsa tiara de diamantes que faz dela uma rainha de caricatura, a afirmação de que o charme da mulher é 50% ilusão, as lanternas de papel com que cobre as lâmpadas da casa, as mentiras sobre sua idade, sua simulação de que um antigo pretendente virá buscá-la para um cruzeiro. Caracterizada como uma "moth-like creature", Blanche se sente atraída pela luz mas ameaçada pela claridade, pois sua atitude é sempre a de mascarar o

real.

Ao arrancar a lanterna de papel que recobre a lâmpada, po-
dendo então examinar na claridade o rosto de Blanche, Mitch cons-
tata que ela é muito mais velha do que dizia ser. Constata, em ou-
tras palavras, a marca e a marcha do tempo, que Blanche lutara fu-
tilmente por esconder. Estando desvendada sua história, Blanche
sucumbe. A exposição força-a à consciência, e o estupro se torna
uma metáfora dessa invasão, desse desnudamento. Sendo impossível
já manter a ilusão, ela se refugia na loucura – penumbra da razão,
ausência de luz. Se a loucura é punição que a aliena do grupo so-
cial, é também âncora de apoio e asilo contra a consciência.
Blanche, "criatura da noite", lua, sentimento, instinto, desejo,
inconsciente coletivo – o feminino – se afasta de Apolo, luz, ra-
zão, sol, inteligência – o masculino e o consciente.

Em sua dualidade, que remete à universal oposição feminino/
masculino,Blanche se torna símbolo também das contradições especí-
ficas do Sul, dividido entre dois mundos e dois tempos: o refina-
mento e a vulgaridade, a pureza e a sujeira, o desejo e a morte,
o passado e o presente. A fragmentação de Blanche reflete a crise
de valores do Sul, e sua alienação retrata o deslocamento. De que-
da em queda Blanche chega finalmente à instituição estadual para
doentes mentais, vítima de sua história. Decadente mas fascinante,
como o velho Sul.

The Glass Menagerie se coloca na mesma linha de A Streetcar
Named Desire. A instabilidade resultante do conflito entre os dois
mundos se expressa nesse texto de duas formas: com o uso de um código
temporal bastante complexo e fragmentado pela deterioração das
relações familiares através da oposição masculino/feminino.

O código temporal da peça se organiza como uma estrutura de

encaixes estabelecida a partir da projeção de uma instância de
discurso que cria a moldura narrativa na qual se insere a instân-
cia da representação. A peça é apresentada como uma "memory play"
pelo narrador ou comentador, Tom Wingfield, que aparece no início
e fim dos atos para introduzir, explicar ou comentar os fatos
representados. Tom é também personagem, e tem trânsito livre entre
as duas instâncias. No entanto, não é somente a memória de Tom que
se acha em questão. Um outro encaixe é introduzido, através da
projeção de slides ou legendas, com referências ao passado da mãe,
Amanda, em sua juventude no Sul, ou ao de Laura, a filha, na esco-
la. Esse plano serve também a outros propósitos: o de criar um
distanciamento e ressaltar o significado de certas passagens — em
suma, há um processo de "foregrounding".

Os três planos temporais encaixados um no outro são portan-
to:

a) a moldura narrativa, presente de Tom, como comentador;

b) as cenas da vida da família na cidade, correspondentes ao passa-
   do de Tom enquanto narrador/comentador e ao presente de todos
   eles no momento da representação;

c) os slides e legendas polarizados em direção ao passado, como
   evocação, ou em direção ao futuro , quando antecipam o que vai
   ocorrer na cena seguinte.

O movimento temporal se faz de a para b, embora nesse último
plano se encaixe a dimensão visual que complica a estrutura tempo-
ral, pois os fatos são representados linearmente mas os slides
quebram a linha do tempo ou acrescentam uma outra dimensão no
"background". Essa fragmentação é acentuada pelo livre trânsito de
Tom entre os planos a e b, separados por uma parede transparente
que é removida quando o comentador entra no espaço dos personagens.

Toda essa complexidade vai se espelhar nas oposições dualís-
ticas estabelecidas a partir do masculino e do feminino, o primeiro
associado à criação, ao dinâmico, ao futuro, e o segundo associado
à tradição, ao estático, ao passado. Os dois homens da família
simbolizam a imaginação, as duas mulheres se tornam guardiãs da
memória.

Amanda Wingfield a mãe, é mais uma das mulheres sulistas
apegadas às ilusões herdadas de um passado paradisíaco e às tradi-
ções puritanas e aristocráticas do velho Sul. Como Blanche Du Bois,
Amanda luta por sobreviver no mundo transformado, mas sua ação se
revela ineficaz porque ela não consegue adequar seus valores a
esse mundo. Também ela revela a nostalgia do Paraíso Perdido e o
medo do futuro. Seu paraíso se chamava Blue Mountain, o que sugere
de imediato inacessibilidade, ascenção, distância. Suas referências
ao passado idílico no Sul são freqüentes, sempre distorcidas por
um mecanismo de idealização que beira o ridículo.

Revelando sua formação puritana, Amanda repudia o instinto
como "algo que todo adulto cristão deve recusar". Daí sua proibição
de que o filho traga para casa os romances de D.H. Lawrence que
gosta de ler. É exatamente a interdição de Amanda que vai acentuar
o desejo de Tom de escapar ao mundo da família, pois sua imaginação
é demasiado viva para se enquadrar no rígido esquema de valores da
mãe.

Amanda fora abandonada pelo marido, um telefonista que se
apaixonara por "long distances" e que só lhe mandara um postal, sem
endereço, do México, com as palavras "Hello - Good-bye" Do marido
restam os velhos discos que Laura, a filha, gosta de ouvir, um
roupão desbotado, e um retrato na parede "maior do que o tamanho
natural". E o medo da sede instintiva de prazer e de vida que ela

reconhece também em Tom. Do passado de Amanda ficou ainda um baú
onde ela guarda objetos de sua juventude, entre eles um vestido
que   põe quando um amigo de Tom é convidado para jantar.
Amanda vive presa ao passado, o que é revelado nas projeções de
slides com fotografias de sua juventude ou com legendas que se
referem à perda do paraíso -"Où sont les neiges d'antan"? Seu
passado está congelado — no baú, nos slides, nos discos, na me
mória, e aparece como uma força paralisante que a impele a se in
tegrar no processo histórico.

A mesma paralisação aparece na outra figura feminina da
peça — Laura — que simboliza, de forma ainda mais clara, a incapa-
cidade de adaptação ao momento presente. Laura é caracterizada por
sua fragilidade, identificando-se com os pequenos animais de vidro
de sua coleção. Como o unicórnio, animal mitológico que se asseme-
lha a um cavalo mas tem um chifre, Laura é aleijada, diferente
dos outros,isolando-se do convívio social e temendo qualquer con-
tato com a vida. Seu mundo é um mundo fechado, estático, congela-
do: velhos discos ou a coleção de animais ocupam todo o seu tempo.
Quando abandona o curso de comércio em que a mãe a matriculara,
Laura, incapaz de confessar seu fracasso, passa o período das
aulas em museus ou então em zoológicos, admirando os viveiros de
pássaros e plantas tropicais. Para suportar o contato com a vida,
Laura precisa usar a mediação de um processo de cristalização: nos
museus, confronta a história, mas não em seu processo e sim em
exposição— não o presente, mas a memória do passado; nos viveiros
vê plantas e pássaros deslocados de seu habitat, cristalizados,
expostos; na vitrola, a música dos velhos discos; na estante, os
animais de vidro. Mas é recusado o confronto direto com a vida,
pois a cada contato Laura adoece e chega até a vomitar em público,

o que revela sua incapacidade de engulir, devorar a vida.

Amanda idealiza o passado mas pelo menos tenta se integrar no presente vendendo uma revista para mulheres. A revista, dessas que fabricam ilusões, chama-se *Companion*, o que estabelece um contraste irônico com a solidão de Amanda. Laura, porém, se refugia de forma ainda mais completa em seu mundo sem vida, de cristal. Aliás, de vidro, vidro dos animais, dos viveiros, dos museus. O nome da peça, *The Glass Menagerie* refere-nos ainda à fragilidade de Laura e por extensão à do mundo representado por ela e pela mãe. Quando o chifre do unicórnio é desastradamente quebrado por Jim, o amigo de Tom, essa fragilidade se torna ainda mais evidente, principalmente após a afirmação de Laura de que sem o chifre ele se sentirá igual aos outros animais. No caso de Laura, entretanto, a marginalização se acentuará, pois ela é decorrente do medo da experiência vital.

As duas figuras masculinas se situam no polo oposto: representam o desejo de vida, de aventura, de futuro. Tom e o pai são figuras dinâmicas, caracterizadas pela força da imaginação. Tom é poeta, e termina por ser despedido do depósito de sapatos onde trabalha por escrever poemas nas tampas das caixas. Os colegas o chamam de Shakespeare, e ele sofre a perseguição de Amanda, que deseja enquadrá-lo em sua visão de mundo.

Para viver, Tom precisa desprender-se, sair da armadilha em que se encontra. Foge de casa, mas a sua é uma fuga para a vida, não da vida. No entanto, seu conflito permanece, pois ele não consegue apagar da memória a lembrança de Laura. Se por um lado o passado pode se transformar em uma força paralisadora, quando o peso da tradição controla o presente, por outro lado é parte essencial da vivência humana, marcada na dor de cada momento, de cada experiência. Tom carrega em si o passado, cuja marca, acres-

cida do sentimento de culpa por ter fugido, não poderá nunca ser apagada. Impossível negar o tempo, como impossível fora detê-lo ou revertê-lo. O tempo é, o devir constitui a realidade de homens, culturas, comunidades, em constante mutação, caminhando para a frente mas com a memória marcada pelo passado.

Essa é a angústia do homem moderno, seja ele de onde for, que tenha consciência de sua historicidade, e que reconheça no devir a marca da experiência humana. Tomarei de F. Scott Fitzgerald as palavras finais de *The Great Gatsby*, que sintetizam essa experiência: "So we beat on, boats against the current, borne back ceaselessly into the past".[7]

NOTAS

[1] SIMPSON, Lewis P. Southern Fiction. In: *Harvard Guide to Contemporary American Writing*. Ed. por Daniel Hoffman. Harvard, The Belknap Press, 1979. p. 153 (tradução minha).

[2] ELIADE, Mircea. *O Mito do Eterno Retorno*. Lisboa, Edições 70, 1978. p. 11.

[3] ——————. p. 90.

[4] ——————. p. 90.

[5] BARTHES, Roland. Mudar o próprio objeto. In: *Atualidade do Mito*. São Paulo, Duas Cidades, 1977. p. 11.

[6] ——————. p. 20.

[7] FITZGERALD, F. Scott. *The Great Gatsby*. New York, Charles Scribner's Sons, 1953. p. 182.

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THE GRAND STYLE IN ENGLISH PROSE

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One conception of style is that it is the effect of
inspiration, as Walter Pater put it, "the finer accomodation of
speech to that vision within." Many critics of this persuasion
have regarded style in a Platonic sense, as the soul or spirit of
writing or speaking, a quality without which expression remains
mere rhetoric[1], and this idea is reflected, I think, in the oft-
quoted (and misquoted) maxim of Buffon's that "Le style est l'homme
même," the style is the man himself, or in Schopenhauer's neat
metaphor, "The style is the physiognomy of the mind," or even in
the definition of style in a literary handbook which defines it as
an arrangement of words that best expresses the intent, ideas and
individuality of the author.[2] Style is written language that is
unique for each writer.

This theory, while containing what most people would
recognize as an undeniable truth — namely, that every writer is
unique — brings us to an unacceptable plurality in which every
writer writes in his own ideolect and there is an end to it. In
speaking ordinarily of style, however, we also recognize that
certain writers, often of a given historical period, tend to
express themselves in similar ways: use similar sentence
structures and kinds of diction, and tend toward either simplicity
and clarity, or complexity and complication. These two theories or
ways of regarding style are summed up in modern studies by the
terms "individual style" and "period style."[3]

In Greek, the word *charater*, usually translated as "style" is really a more objective term than the English word, with its connotation of individual quality, suggests.[4] Greek critics conceived of style as a more objective quality and therefore a quality which could be studied and acquired, and the ancient handbooks of rhetoric have many suggestions as to how this can be done. The Aristotelian school of rhetoric considers style as generic rather than organic and, in accordance with the Stagirite's tireless tendency to categorize, style is the effect of many causes and therefore sub-categories are necessary to properly explain the genus.[5] In chapter nine of the *Rhetoric*, Aristotle makes the crucial distinction between an older, more formless way of writing, or loose style, and the periodic style. For the loose style he employs a term that means "strung-along" like beads on a string.[6] With the periodic style the sentence and sense are said to end together so that there is a correspondence between the grammatical pattern of the sentence and the thought. Flaubert has a similar notion with respect to the word when he writes "The exactness of the thought makes for (and is itself) that of the word."[7]

Aristotle gave much advice on effective expression,including proper rhythm, which was important in classical prose as well as poetry. In the sections of the *Poetics* dealing with kinds of diction, he notes the importance of being lucid, but adds that "unusual words... give dignity to the language and avoid the commonplace."[8] In these observations, he is concerned with prose of a more elegant kind, the so-called high, grand, or elevated style. He is typically concerned, however, that writers should always avoid extremes. The Aristotelian mean implies that writers

should try to please without sacrificing lucidity. It appears that Aristotle thus plumps for the middle or mean style as that which is neither too grand nor too low and which best guarantees clarity.[9]

The origin of the formula of the three styles is obscure,[10] but Aristotle, as we have seen, seems to assume it, as does his follower Theophrastus, who recognized three kinds of diction, among which is the grand or "poetic" language of the orator-sophist Gorgias, though Theophrastus himself followed Aristotle in preferring a mean between the grand and the plain. Demetrius, who wrote a tract on style in the Hellenistic period recognized four styles, breaking up the grand into the "elevated" and the "elegant." The elevated requires, among other things, lengthy clauses, a periodic sentence structure, poetic language, and a dignified subject matter,[11] general features that later observers take to be the basic elements of the grand style. Grandeur, he says, "resides in three things: the content, the diction, and the appropriate arrangement of words."[12] Demetrius thus broadens Theophrastus' discussion of elevated diction to include subject-matter and sentence structure. He discusses the necessity of a periodic structure for the grand style, noting that the structure must be well-defined, since "long journeys seem shorter if one stops frequently at an inn, while a deserted road makes even a short journey seem long,"[13] a good description of the complex configurations of the periodic style.

In Roman rhetoric, the grand style is called *gravis*, solemn or grave, and the danger of its degenerating into bombast is already noted, since the defect of *gravis* is *figura sufflata*, overblown style. The master Roman orator Cicero does not discuss

the three styles in his main treatise on rhetoric, *De Oratore*, but elsewhere he follows Aristotle in insisting that a writer or speaker must be able to manipulate the three styles according to his purpose. He says that the grand style is for the purpose of moving the emotions, as opposed to instructing in the plain, and entertaining in the mean style.[14] This psychological emphasis on the listener or reader will also have influence later. Bacon, for example, thought "the duty and office of Rhetoric" is to "apply Reason to Imagination for the better moving of the will."[15]

A contemporary critic, Northrop Frye, has introduced a variation of Aristotle's distinction between the loose and the periodic style with a distinction between the "demotic" and "hieratic." The demotic is associated with ordinary speech and the hieratic with consciously literary language. This is similar to the Neo-classical doctrine that there is a style appropriate to the poetic, distinguished from that of ordinary speech, the distinctive poetic diction defended by Gray and later attacked by Wordsworth, who was concerned to point out there is no essential difference between the language of prose and verse. Frye, who loves systematizing almost as much as Aristotle himself, goes on to distinguish high, middle, and low levels in both of these groups.[16] Although the origin of the old formula of the three styles is unknown, and, as we shall see, has not been respected since classical times, it is still an idea that has force in critical circles.

To categorize kinds of styles in much broader terms, we may classify each style according to whether the adjective naming it refers to a particular author (like the Ciceronian or Tacitean), a particular time or place (the ancient Attic and Asiatic),the medium

of expression (lyrical, prosaic, dramatic, and epistolary), the
audience intended (demagogic or courtly), and even the mood and
intention of the author (the technical, diplomatic, and sentimental
styles).[17] Such a scheme is inclusive but unsatisfactory for our
purposes, as it mixes objective and subjective bases. The author
of this scheme, in a dictionary of literary terms, characterizes
the grand or sublime or majestic style as one "in which the author
seeks to create the appropriate effects in his reader,"[18] which
follows Cicero's description closely but is wonderfully evasive for
a modern discussion. Does he mean the effects of grandeur, sublimity,
and majesty, and how are such terms to be defined? A psychological
effect the reader is meant to feel becomes the main feature of the
style.

This is not to say that a reader may not actually
experience such an effect. Robert Louis Stevenson called attention
to how "we enjoy the pleasure of a most intricate and dexterous
pattern, every stitch a model at once of elegance and of good
sense."[19] Elsewhere he mentioned the importance of "an elegant
and pregnant texture."[20] Undoubtedly, there is a great appeal to
highly mannered prose, apart from, or perhaps because of, its
sheer technical virtuosity, but the objection remains. The reader
may or may not experience the desired effect. He may find, and
many modern readers do find, the whole thing pompous or perhaps
impressive enough but greatly redundant. High-flown language, it
has been long recognized, is very effective for comedy, which may
be a consequence of the traditional comic figure of the pedant. The
danger of sustaining tricky constructions and figures is that the
effect may turn out to be the opposite of what one intended. (As a
teacher of mine, a professor of Latin prose composition, once

warned: be careful of asking the rhetorical question; you may get
the wrong answer).

Intentions and their fulfillment aside, emotions themselves
are notoriously difficult to identify, much less predict, and this,
I think, is one major objection to so much classical criticism.
There is nothing one can say with any certainty against the idea
that similar emotions may arise from totally different causes. As
Spinoza argues in the third book of the *Ethics*, "emotion is a
confused idea." The urgent sublimity one reader may feel for a
certain passage may cause another to break out in derisive laughter.
The relevant point for emotion is not what the reader is expected
to feel but what the author is expressing, what he means, when he
manipulates the complex set of relationships we sum up by the
word style. This is the importance of style for rhetoric.

> *Style adds the force of personality to the
> impersonal forces of logic and evidence, and
> is thus deeply involved in the business of
> persuasion.*[21]

Here is perhaps the true meaning of the statement "the style is the
man himself."

Modern views of style regard it not as verbal embellishment
or decoration but meaning itself, as "the last and most detailed
elaboration of meaning,"[22] or as "the hidden thoughts which
accompany overt propositions..."[23] The common analogy of clothes
can be invoked. To the unreflective, clothes are merely garments
to cover nakedness, or fashionably shaped cloth to decorate the
body with. But besides these obvious uses, clothes express

personality and in some recent analyses have been analyzed as illustrating meaning. The choice of a piece of clothing, like that of a phrase or a grammatical construction, may be both conscious and unconscious but in either case is revealing of what the chooser means to express. A complete analysis of a given writer's style would reveal what he means by the choice he makes among the available choices, what he says as well as how he says it.

To continue with the analogy of clothes but to take it a bit further, we might see the idea of style, as in the Renaissance and Neo-classical traditions, as clothing for thought, something chosen or added,[24] which implies that there are a number of choices available to select from, some of which may be rejected, and proper style means proper selection. An opposing, more intimate view of style is associated with the Romantics but occurs in at least one classical critic, Longinus — the notion of style as organic.[25] A defender of this theory, John Middleton Murray, explained that "Style is organic, not the clothes a man wears, but the flesh and bone of his body." While this theory admirably tries to preserve the uniqueness of each individual style, it has the defect of confusing the terms author and style: one is the product or effect of the other, not the equivalent of it.

If we think of style, then as something added, though not in a mechanical or artificial way, but in the Aristotelian sense of shaping or corresponding structure to thought, we see that the classification scheme mentioned above is a way of completing the idea of kinds of thoughts to be shaped. The traditional classification of styles into high, middle, and low, therefore, relates style to subject. Style is specifically the kind of language appropriate for a given subject-mater. The high or grand style is appropriate for

epics or tragedy and all those kinds of works that treat lofty or serious subjects, while the mean or middle is appropriate for the ordinary business of men and the low or plain reserved for the baser aspects of life and so-called lower orders of men.[26]

It is obvious that in this scheme, too, subjectivity has hardly been eliminated, since style is intimately related to the concept of *decorum*, and social class determines the hierarchy of what is appropriate. One of the principal arguments in Eric Auerbach's great book of criticism, *Mimesis*, is that this doctrine of decorum was not respected in the actual development of western literature. The kind of realism that developed in the Middle Ages and the Renaissance was made possible by mixing levels of style.[27] The inspiration for this mixture was Jesus Christ himself, who furnished the example of his humble beginnings and daily life opposed to the sublime tragedy of his death. The son of God becoming man, the Word made Flesh, meant that the divine could be described in human terms and in concrete language, as in the Gospels themselves, which were written in a plainer unclassical Greek, the *Koinê*. Auerbach's view is that this mixing of styles has enriched our literature, since the separation of styles in antiquity had the effect of narrowing the limits of realism.[28] The changes in Roman social structure brought about by the introduction of Christianity into classical culture would therefore have its parallel in literature. The mixture of social classes in the early Christian communities previewed the mixture of styles in later literatures.

If the mixture of styles has been liberating for the history of literature, specifically for the needs of prose fiction, it has in any case been the practice of first-rate authors in other genres.

Shakespeare may be cited as the outstanding example of a poet and
dramatist who mixed language both sublime and plain. If he
frequently observed the convention of reserving prose in his plays
for scenes spoken by rustics or low characters and for passages of
comic relief, he also used it for Lear's madness and Hamlet's
speech on the nature of man. And the sublime poetry of his kings
and noble characters is riddled with colloquialisms: this despite
the Renaissance doctrine of decorum or "seemliness." Fortunately,
writers do not always listen to critics.

Elizabethan prose was itself a mixture of the native and
classical traditions. The new humanism of the Continental
Renaissance spread to England, bringing the prose of Cicero and the
theories of Quintilian into fashion. Most important writers learned
to write Latin prose in school, which was bound to have an influence
on how they wrote English.[29]   Cicero was the model for the 16th
century English[30]   and has remained identified with the "periodic"
grand style. The Ciceronian period or sentence is a masterpiece of
verbal architecture.Clauses are carefully and elaborately
subordinated and triumphantly resolved by the tendency of the Latin
verb to come at the end. Other typical devices are a judicious use
of figures, a subtly varied rhythm, and a lofty level of diction
appropriate to the subject. Matters of rhythm and diction aside
(as they are, we have seen, important aspects of any so-called
grand style), the structure of the Latin period is not very
suitable to the demands of the English sentence. A more native
style favors a coordination rather than subordination of clauses,
or a paratactic structure, with the linking coordinators (the *ands*
and *buts*) absent and the clauses simply juxtaposed, two methods of
linking clauses that were most common in Old English and have

remained characteristic of good prose in every kind of writer.[31]
Nor can English word order, unlike Latin, be easily wrenched
around to effect felicitous juxtapositions, as anyone who has tried
to translate a Latin sentence into English come to realize.
Nevertheless, some writers have succeeded brilliantly in producing
the effect of a Latin period. Consider the first sentence of
Boswell's (18th century) biography of Dr. Johnson, where the force
and the sense are suspended till the last word:

> *To write the life of him who excelled all*
> *mankind in writing the lives of others, and*
> *who, whether we consider his extraordinary*
> *endowments, or his various works, has been*
> *equalled by few in any age, is an arduous,*
> *and may be reckoned in me a presumptuous*
> *task.*[32]

Despite such acrobatics, the implications for style of the
importance of word order is great. English has less possibilities
for changing emphasis by changing positions of words and a greater
reliance on "function" words.[33] Although Ciceronian prose with a
few notable exceptions had ceased to be imitated by the 17th
century, the heritage of the Latin humanists continued long after,
with a periodic style extending even into the 19th century and the
expansion of vocabulary made possible by Latin influence becoming
a permanent feature.[34] The Anglican clergyman Thomas Hooker, who
flourished at the end of the 16th century is a good example of the
eloquence that Latinity furnished in English prose. Note the
balance and antitheses of the following period:

*Where Rome keepeth that which is ancienter
and better, others whom we much more affect
leaving it for newer and changing it for
worse; we had rather follow the perfections
of them we like not, than in defects resemble
them whom we love.*[35]

We should not get the idea that English prose was
exclusively Latinate at certain times and more native at others.
Usually several tendencies have co-existed. While some writers
were adapting Cicero to English in the 16th century, others were
defending English "as an adequate and even superior medium for
prose."[36] This is noteworthy especially with men who were trained
as Latinists. The outstanding figure here is the philosopher
Thomas More, who was a classical scholar and accomplished Latin
stylist but a man who wrote in plain English, finding his mother
tongue "for the utteraunce of a mans minde verye perfecte and sure."[37]
Another important element was the English Bible. The Bible, which
first appeared in English translation in the early 16th century,
became the first classic of English prose and has had an enormous
influence on it till the present day. It is not in a grand style,
as it is structurally simpler, but it is not a plain style either,
as its diction tends to be archaic.[38] Careful attention to rhythm
and expanded vocabulary, however, give an overall impression of
sublimity that is adequate to the subject, and both rhythm and
metaphor make Biblical prose closer to the feeling of poetry.

The 17th century, which has been called the richest period
of English prose, inherited, then, several different tendencies,
as well as the respectability the translation of the Bible had
given to prose as a serious medium. One important development was

the search for a new classical model other than Cicero. Seneca and
Tacitus began to fill the gap. The Senecan and Tacitean styles
were less grandiloquent, more concise, epigrammatic, and colloquial
than the Ciceronian so that, since excessive ornament was being
deplored and a new plainness in vocabulary came into demand, they
replaced it in the 17th century.[39] Some idea of the pithy style
of Tacitus can be given by the first sentence of his *Histories*:

> *Opus adgredior opimum casibus, atrox
> praeliis, discors seditionibus, ipsa
> etiam pace saevum.*[40]
>
> *(I enter on a work rich in disasters,
> horrid in wars, clashing in civil
> uprisings; even its very peace was
> cruel).*

The brevity of the Latin sentence is evident in the number of
words (12) compared to that of a literal English translation (21).
That this became a model is not surprising when writers began to
complain of the Ciceronian as a style in which three words do the
work of one.

Francis Bacon introduced the concise style into English though
he was to eventually react against its excesses, as he had earlier
reacted against the excesses of Ciceronian prose.[41] His stated
concern was for "matter" over excessive preoccupation with expression.
The new style appeared less polished and more pithy; it was a prose
of short statements whose strength was its concision. Here is Bacon
on "Studies:"

> *Studies serve for pastimes, for ornaments*
> *and for abilities. Their chiefe use for*
> *pastime is in privatness and retiring; for*
> *ornamente is in discourse, and for abilitie*
> *is in judgement.*[42]

The discovery that good English could be written in a style that was not Ciceronian led to the next phase; a looser and freer style, with clauses that were not carefully interlocked by subordination but added to one another in series by connectors like neither, nor, for, so that, and so, and, but, whereas, etc..[43] Here is a sentence from a sermon of John Donne's:

> *It was his Fathers, and so his; And his,*
> *and so ours; for we are not joynt purchasers*
> *of Heaven with the Saints, but we are co-*
> *heires with Christ Jesus.*[44]

Bacon himself took up this new development on wearying of the Senecan-Tacitean style and it established itself by mid-century as a style which seemed to allow the writer to "think in the act of writing,"[45] rather than have everything carefully worked out beforehand as in the architectural style of the Ciceronians. But a more elaborate style was to return in still another prose that had the lengthy sentences of the old grand style as well as its ornate vocabulary, but,under the influence of the looser style preceding it,was structurally loosely connected rather than tightly subordinated. Good practitioners of this style are John Donne and Sir Thomas Browne, whose style has been compared to a linked chain, with each period loosely connected with the one that comes

before it.[46] His language and sentence length are in the grand manner, though the effect of the whole is one of vigor rather than polish:

> *We whose generations are ordained in this setting part of time, are providentially taken off from such imaginations. And being necessitated to eye the remaining particle of futurity, are naturally constituted into thoughts of the next world, and cannot excusably decline the consideration of that duration, which maketh Pyramids pillars of snow, and all that's past a moment.*[47]

The full variety of the 17th century is evident when we consider that, besides the early Senecan-Tacitean and later freer-looser styles, the century also supported both a plain speech-based prose and the old-time Ciceronian periods of John Milton:

> *The Parliament of England, assisted by a great number of the people who appeared and stuck to them faithfullest in defence of religion and their civil liberties, judging kingship by long experience a government unnecessarie, burdensom and dangerous, justly and magnanimously abolished it; turning regal bondage into a free Commonwealth, to the admiration and terrour of our emulous neighbors.*[48]

This is a long way from speech. The features of Milton's prose are

lengthy sentences, Latinate diction, subordination of clauses, controlled rhythm, balance and contrast, and a long-windedness which compels one to read right through to the end with little pause.

It was, however, the plainer, more colloquial prose that won out over the others by the end of the 17th century and established itself in the great age of prose of the early 18th. This was a prose that made a fetish of clarity, the opposite of the polysyllabic and complex prose of the grand style. Swift, one of its masters, followed the practice of reading his manuscripts to a chambermaid and eliminating what she could not understand.[49] Noteworthy authors who wrote an essentially speech-based prose are the novelists Swift and Defoe, the essayists Addison and Steele, and even the philosophers Locke, Berkeley, and Hume. There is probably a close connection between the acceptance and establishment of this kind of style and the rise of the novel. In prose fiction, a middle or plain style was thought appropriate for the depiction of ordinary life. Richardson wrote *Clarissa* in the form of letters written by a young woman. Defoe had been trained in journalism and wrote in plain prose his *Robinson Crusoe* and *Moll Flanders*. Fielding wrote *Tom Jones* in three styles, but for the most part relates his "history" in a "mere narrative" style.[50] The epic style of Homer he employs only as a parody, and the passages in formal language occur in the introductory chapters in which the author explains and reflects on the methods he uses to tell his tale. These chapters stand apart from the fictional narrative and indeed are often quoted in literary textbooks as essays on the art of comic fiction. As one critic has pointed out, both the Homeric parody and the mannered essay styles are good fun,

but they "also point up the unsuitability in the novel of the 'elevation of style' used in more traditional forms of narrative writing."[51]

Thomas Hardy has explained the unsuitability of the grand style for prose fiction as an artistic necessity not to over-polish lest the work seem lifeless:

> The whole secret of a living style and the difference between it and a dead style, lies in not having too much style — being a little careless, or rather seeming to be, here and there. It brings wonderful life into the writing... Otherwise your style is like worn half-pence — all the fresh images rounded off by rubbing, and no crispness at all.[52]

Even the French master of the grand style, Chateaubriand, once had his style characterized in a letter by the novelist Stendhal as "ridiculous." Elegance in fiction is in fact more characteristic of comedy. One thinks of Fielding, Stern, Jane Austen, Trollope, and nowadays, Anthony Powell. It is even difficult to characterize styles of prose fiction historically, since "conventional descriptions of period style tend to be less applicable to the novel than to other forms."[53] I would suggest that this is owing to the nature of the novel as a contingent genre, one that depends more on contemporary fashions in language and thought, one not so subject to classical models, and one relatively free from the more formal structures of poetry and drama.

In the latter part of the 18th century, the simple style
that had been so fruitful for English literature gave way once
again to a grand style.[54] The new textbooks on English grammar
advocated a return to the percepts of Quintilian and the periodic
sentence as a prose model, with stateliness and pomp becoming
terms of praise rather than censure,[55] and a separation between
the spoken and written languages that has always been characteristic
of the grand style. The masters of this new classical prose are
two of the greatest stylists in English: Samuel Johnson and Edward
Gibbon.

Johnson's prose was shaped for his more formal purposes. It
lost the conversational tone English style had in the age of Swift
and Dryden and increased the distance between writer and reader,
achieving a greater impersonalization of the audience.[56] Johnson,
who wrote the first great English dictionary, had an immense
vocabulary at his command and a fondness for words with classical
roots. He tended to use (some think overuse) the balanced phrases
and antithesis of classical authors, with the late-in-the-sentence
emphasis of Latin. Johnson on Dryden:

> *The persecution of critics was not the
> worst of his vexations: he was much more
> disturbed by the importunities of want.
> His complaints of poverty are so frequently
> repeated, either with the dejection of
> weakness sinking in helpless misery, or the
> indignation of merit claiming its tribute
> from mankind, that it is impossible not to
> detest the age which could impose on such
> a man the necessity of such solicitations,
> or not to despise the man who could submit*

to such solicitations without necessity.[57]

.

And on fortitude:

> The cure for the greatest part of human
> miseries is not radical, but palliative.
> Infelicity is involved in corporeal nature,
> and interwoven with our being: all attempts
> therefore to decline it wholly are useless
> and vain: the armies of pain send their
> arrows against us on every side, the choice
> is only between those which are more or
> less sharp, or tinged with poison of greater
> or less malignity; and the strongest armour
> which reason can supply, will only blunt
> their points, but cannot repel them.[58]

Edmund Burke's prose, said to be closer to the conversational than
Johnson's,[59] often had its compositional origin in speeches, but
was often too a recognizable example of a complex grand style. In
this passage Burke, the apostle of conservatism, writes of those
principles:

> When the useful parts of an old establishment
> are kept, and what is superadded is to be
> fitted to what is retained, a vigorous mind,
> steady persevering attention, various powers
> of comparison and combination, and the
> resources of an understanding fruitful in
> expedients are to be exercised; they are to
> be exercised in a continued conflict with
> the combined force of opposite voices; with
> the obstinacy that rejects all improvement,

> and the levity that is fatigued and
> disgusted with everything of which it
> is in possession.[60]

Gibbon sustained his multi-volumed work on Roman history in the most elegant and subtle prose, the grand style as its best. Although many of his historical notions have been superseded by the research of specialists, the *Decline and Fall* is still read; in large measure, we may suppose, for the delights and wit of its language:

> She was doomed to weep over the death of
> one of her sons, and over the life of the
> other.

> Like the modesty affected by Augustus, the
> state maintained by Diocletian was a
> theatrical representation; but it must be
> confessed that, of the two comedies, the
> former was of a much more liberal and
> manly character than the latter.[61]

Even in writing elsewhere about himself, dignified distance is a mark of Gibbon's style:

> According to the scale of Switzerland, I am a
> rich man; and I am indeed rich, since my
> income is superior to my expense, and my
> expense is equal to my wishes.

This cool distance may even border on parody:

> *The present is a fleeting moment, the past
> is no more; and our prospect of futurity is
> dark and doubtful. This day may possibly be
> my last: but the laws of probability, so true
> in general, so fallacious in particular, still
> allow about fifteen years.*[62]

Reaction, as usual, set in and in the early 19th century,
besides Wordsworth's attack on poetic language, which I have
mentioned above, Coleridge raps the grand style by saying of
Johnson that "he creates an impression of cleverness by never
saying anything in a common way."[63] While there is some justice
in this judgement, one feels he has overlooked much of Johnson's
real power. The verdict of time has surely overturned Coleridge's
censure of Gibbon in the same passage, when he says, damning the
grand style in general, that Gibbon's manner is the worst of all;
it has every fault of which this peculiar style is capable." He
might well have added "and every virtue:"

> *With the venerable proconsul, his son, who
> had accompanied him to Africa as his
> lieutenant, was likewise declared emperor.
> His manners were less pure, but his character
> was equally amiable with that of his father.
> Twenty-two acknowledged concubines, and a library
> of sixty-two thousand volumes, attested the
> variety of his inclinations; and from the
> productions which he left behind him, it appears
> that both the one and the other were designed
> for use rather than ostentation.*[64]

NOTES

[1] Joseph Shipley, *Dictionary of World Literature*, New Revised ed. (Totowa: Littlefield, Adams, 1972), p. 398.

[2] C. Hugh Holman, *A Handbook to Literature*, 3rd ed. (New York: Odyssey, 1972), p. 514.

[3] Massaud Moisés, *Dicionário de Termos Literários*, 2nd ed. (São Paulo: Editora Cultrix, 1978), p. 205; *estilos de época/estilos individuais*.

[4] G.M.A. Grube, *The Greek and Roman Critics* (Toronto: University of Toronto Press, 1965), p. 111.

[5] Shipley, p. 398.

[6] Grube, pp. 97-8.

[7] Miriam Allott, *Novelists on the Novel* (London: Routledge & Kegan Paul, 1959), p. 313.

[8] Quoted from Grube, p. 83.

[9] Grube, pp. 94 ff.

[10] Grube, p. 138.

[11] Alex Preminger, ed., *Princeton Encyclopedia of Poetry and Poetics*, enlarged ed. (Princeton: Princeton University Press, 1972), p. 141.

[12] Quoted in Preminger, p. 142.

[13] Quoted in Grube, p. 113; Preminger, p. 143.

[14] Grube, p. 180.

[15] *Advancement of Learning* (1605), quoted in Boris Ford, ed., *The Pelican Guide to English Literature*, Vol. 2 , *The Age of Shakespeare* (Penguin, 1955), p. 90.

[16] M.H. Abrams, *A Glossary of Literary Terms*, 3rd. ed. (New York: Holt, Rinehart & Winston, 1971), p. 166. For the Neo-Classical theory and Wordsworth, see, for example, Preminger, p. 815.

[17] Shipley, pp. 398-9.

[18] Shipley, p. 399.

[19] Philip Stevick, ed., *The Theory of the Novel* (New York: The Free Press, 1967), p. 189.

[20] Allot, p. 319.

[21] Richard M. Ohmann, "Prolegomena to the Analysis of Prose Style," *Theory of the Novel*, ed. Stevick, p. 205.

[22] W.K. Wimsatt, *The Prose Style of Samuel Johnson*, p. 63, quoted by Ohmann, p. 200.

[23] Ohmann, p. 203.

[24] Preminger, p. 814.

[25] Preminger, p. 814, and the following quote.

[26] Preminger, p. 814.

[27] Eric Auerback, *Mimesis: The Representation of Reality in Western Literature*, 1956; trans. Willard Trask (Garden City: Anchor, 1957), p. 490, for example.

[28] Auerbach, p. 27.

[29] L.G. Salingar, "The Elizabethan Literary Renaissance," *Pelican Guide*, Vol. 2, ed. Boris Ford,pp. 71 ff.; Preminger, p. 815.

[30] Kenneth Muir, ed., *The Pelican Book of English Prose*, Vol. I: *Elizabethan and Jacobean Prose* (Penguin, 1956), p. xvii-xviii.

[31] Ian A. Gordon, *The Movement of English Prose* (London: Longman's, 1966), p. 29.

[32] Boswell, *Life of Johnson*, Oxford ed., rpt. 1965, p. 19.

[33] Ohmann, p. 198.

[34] Gordon, pp. 74 and 81.

[35] Quoted from Gordon, p. 83.

[36] Gordon, p. 85.

[37] Gordon, p. 89.

[38] Gordon, p. 100.

[39] Muir, p. xix; Gordon, p. 105 f.

[40] Quoted from F.L. Lucas, *Style* (London: Cassell, 1955), p. 92.

[41] Peter Ure. ed., *Pelican Book of English Prose*, Vol. II: *17th Century Prose* (Penguin, 1956), p. xxiv.

[42] Quoted in Gordon, p. 110.

[43] Gordon, p. 114.

[44] Quoted in Gordon, p. 115.

[45] Gordon, p. 109.

[46] Ure, p. xxii.

[47] Quoted in Ure, p. 204.

[48] *Selected Prose*, ed. C.A. Patrides (Penguin, 1974), p. 328.

[49] Gordon, p. 135.

[50] Leonard Lutwak, "Mixed and Uniform Prose Style in the Novel," *Theory of the Novel*, ed. Philip Stevick, p. 204.

[51] Lutwak, p. 210.

[52] Allott, p. 318.

[53] Stevick, p. 186.

[54] Rene Wellek and Austin Warren, *Theory of Literature*, 1949; rpt. Peregrine, 1970, p. 165.

[55] Gordon, pp. 141-42.

[56] Gorron, p. 144.

[57] *Lives of the Poets — A Selection* (Oxford: J.P. Hardy, 1971), p. 157.

[58] Quoted in D.W. Jefferson, ed., *Pelican Book of English Prose*, Vol. III: *18th Century Prose* (Penguin, 1956), p. 94.

[59] Raymond Wright, ed., *Pelican Book of English Prose*, Vol. IV: *Prose of the Romantic Period 1780-1830*, p. xx.

[60] Quoted in Wright, p. 85.

[61] Both quotes from Jefferson, p. xxvii.

[62] Both quotes from Jefferson, pp. 60-1.

[63] Quoted from Wright, p. xix.

[64] Quoted from Lucas, p. 142.

"DAS IST GUT DEUTSCH GEREDET!"
OBSERVAÇÕES SOBRE O ESTILO

Hedwig Kux - UFMG

"Das ist gut Deutsch geredet!" Isto é alemão bem falado!
Com estas palavras Martin Lutero (1483-1546) quase 500 anos atrás
defendeu sua tradução da Bíblia na famosa carta sobre tradução
"Sendbrief vom Dolmetschen". Ele defendeu, pois seus adversários
alegaram que ele não tinha traduzido sempre ao pé da letra. Mas
ele não queria traduzir palavra por palavra do latim ou do grego.
Na mencionada carta ele dizia: "Ich habe mich beim Dolmetschen
befleissigt, reines und klares Deutsch zu geben". Ele quer dizer
alemão puro e claro sem latinismos e sem grecismos. Isto soa bem
simples, mas a língua alemã tem muitos dialetos, no sul, no nor-
te, perto do Reno e nas montanhas da Alemanha Central. A Bíblia
de Lutero evita expressões de dialetos e palavras regionais. Por
outro lado Lutero usou locuções, provérbios e expressões da lín-
gua falada. Assim ele criou uma língua que pode ser entendida em
qualquer região da Alemanha, uma língua comum. Os historiadores
chamam esta fase na evolução da língua alemã "Frühneuhochdeutsch"
ou "cedo alto alemão moderno". Atualmente falamos e escrevemos
apenas "Neuhochdeutsch". A língua de Lutero tornou-se rapidamente
língua comum, não somente no que diz respeito às várias regiões do
país, mas também considerando as camadas sociais.

Algumas regras gramaticais, introduzidas por Lutero valem
até hoje. Temos, por exemplo, a colocação do verbo no fim da frase
subordinada. Era pouco usada no alemão médio, mas era conhecida.

Lutero conseqüentemente coloca o verbo no fim da frase subordina-
da, como também no fim da frase simples, uma parte do predicado.
Por exemplo: "Er will jetzt nach hause gehen"

       "Sie kann nicht gut schwimmen"

       "Seine Eltern haben ihn lange nicht gesehen".

No alemão médio (mittelhochdeutsch) ainda temos com Walther von
der Vogelweide na canção "Unter der Linde --" a seguinte constru-
ção: "-- do hete er gemachet also riche von bluomen eine
Bettestatt --" hoje: "-- da hatte er so reich von Blumen ein Bett
gemacht --". "Er hatte gemacht von Blumen ein Bett --" como soa
isto? Ganz falsch! Outro exemplo do antigo verso, "-- wer will
guten Kuchen backen, der muss haben sieben Sachen, --"
O segundo verso será correto da seguinte maneira: "-- der muss
sieben Sachen haben". Esta colocação é valida até hoje. A coloca-
ção verbal, abraçando a frase, é considerado estilo claro e cor-
reto.

    O verbo é mais considerado como elemento expressivo do que
o substantivo.Verbos substantivados devem ser evitados.É avaliado
como sendo estilo bom, fechar uma frase ou um período com aquele
verbo que dá o sentido. Mme. de Stäel dizia 150 anos atrás: "Numa
conversa francesa pode-se interromper a qualquer momento. A con-
versa francesa é rápida e engraçada. Na conversa alemã só se po-
de interromper raramente; como interromper sem conhecer o verbo?"
Um inglês dizia de trabalhos científicos alemães: "O verbo aparece
só no segundo volume do livro".
De Goethe se diz também que ele dava mais valor às expressões ver-
bais. Cito do "Faust" da primeira parte as considerações sobre a
tradução do Novo Testamento:

Wir sehnen uns nach Offenbarung,
Die nirgends würdger und schöner brennt
Als in dem Neuen Testament.
Mich drängts, den Grundtext aufzuschlagen,
Mit redlichem Gefühl einmal
Das heilige Original
In mein geliebts Deutsch zu übertragen.
Er schlägt ein Volum auf und schickt sich an.
Geschrieben steht: "Im Anfang war das Wort!"
Hier stock ich schon! Wer hilft mir weiter fort?
Ich kann das Wort so hoch unmöglich schätzen,
Ich muss es anders übersetzen,
Wenn ich vom Geiste recht erleuchtet bin.
Geschrieben steht: Im Anfang war der Sinn.
Bedenke wohl die erste Zeile,
Dass deine Feder sich nicht übereile!
Ist es der Sinn, der alles wirkt und schafft?
Es sollte stehn: Im Anfang war die Kraft!
Doch auch indem ich dieses niederschreibe,
Schon warnt mich was, dass ich dabei nicht bleibe.
Mir hilft der Geist! auf einmal seh ich Rat
Und schreibe getrost: Im Anfang war die Tat! —

Martin Luther

AUS DEM SENDBRIEF VOM DOLMETSCHEN

Ich habe mich beim Dolmetschen befleissigt,
reines und klares Deutsch zu geben. Es ist uns wohl
oft begegnet, dass wir vierzehn Tage, drei, vier
Wochen lang ein einziges Wort gesucht und danach
gefragt haben und haben es dennoch zuweilen nicht
gefunden. Im Hiob arbeiteten wir, Magister Philippus,
Aurogallus und ich so, dass wir in vier Tagen zu-
weilen kaum drei Zeilen vollenden konnten. Nun, wo
es verdeutscht und fertig ist, da kann es ein jeder
lesen und meistern. Da läuft einer jetzt mit den

Augen durch drei, vier Blätter und stösst nicht
an ein einziges Wort an. Er wird aber nicht gewahr,
welche Wacken und Klötze da gelegen haben, wo er
jetzt drüber hingeht, wie über ein gehobeltes Brett,
während wir haben schwitzen und uns ängstigen
müssen, ehe wir jene Wacken und Klötze aus dem
Wege räumten, damit man so hübsch dahin gehen
könnte. Es ist gut pflügen, wenn der Acker
gereinigt ist, aber den Wald und die Stöcke
ausroden und den Acker herrichten, da will
niemand heran. Aber bei der Welt ist kein Dank zu
verdienen. Kann doch Gott selbst mit der Sonne, ja
mit Himmel und Erde, auch mit seines eigenen Sohnes
Tod keinen Dank verdienen. Sie sei und bleibe Welt
in des Teufels Namen, weil sie es ja nicht anders
will.

I ch habe, da ich beim Dolmetschen Deutsch zu
reden mir vorgenommen hatte, Deutsch, nicht
Lateinisch noch Griechisch reden wollen.

Man darf eben nicht die Buchstaben in der
lateinischen Sprache fragen, wie man Deutsch reden
soll, sondern muss die Mutter im Hause, die Kinder
auf der Gasse, den gemeinen Mann auf dem Markt
darum fragen. Man muss diesen auf den Mund sehen,
wie sie reden und demgemäss dolmetschen. Dann
verstehen sie es und merken, dass man deutsch mit
ihnen redet. Zum Beispiel, wenn Christus sagt,
Matth. 12,34: Ex abundantia cordis os loquitur.
Wenn ich den Eseln folgen soll, so werden die mir
die Buchstaben vorlegen und folgendermassen
dolmetschen: Aus dem Überfluss des Herzens redet
der Mund. Sagt mir, ist das deutsch geredet?
Welcher Deutsche versteht das? Was ist Überfluss
des Herzens für ein Ding? Das kann kein Deutscher
sagen, wenn er nicht sagen will, es heisse, dass
er ein allzu grosses Herz habe, oder dass er zu
viele Herzen habe. Indes ist auch das noch nicht
richtig. Denn Überfluss des Herzens ist kein
Deutsch, so wenig als das deutsch ist: Überfluss

des Hauses, Überfluss des Kachelofens, Überfluss
der Bank. Sondern so redet die Mutter im Haus
und der gemeine Mann: Wes das Herz voll ist,
davon geht der Mund über. Das heisst gut deutsch
geredet. Des habe ich mich befleissigt und leider
nur es nicht überall erreicht und getroffen. Denn
die lateinischen Buchstaben hindern über die
Massen sehr, gut deutsch zu reden. Ebenso, wenn
der Verräter Judas sagt, Matth. 26,8: Ut quid
perditio haec? und Marc. 14,4: Ut quid perditio
ista unguenti facta est? Folge ich nun den Eseln
und Buchstabilisten, so muss ich das folgender-
massen verdeutschen: Warum ist diese Verlierung
der Salbe geschehen? Was ist das aber für Deutsch?
Welcher Deutsche redet so: Verlierung der Salbe
ist geschehen? Und wenn er es richtig versteht,
so denkt er, die Salbe sei verloren gegangen, und
er müsse sie etwa wieder suchen, wiewohl das
auch noch dunkel und unsicher lautet. Wenn das
nun gutes Deutsch ist, warum treten sie nicht
hervor und machen uns ein so feines, hübsches,
neues deutsches Testament und lassen des Luthers
Testament liegen? Ich meine ja, sie sollten die
Kunst an den Tag bringen. Aber der deutsche Mann
redet so: es ist schade um die Salbe. Das ist
gut deutsch. Daraus versteht man, dass Magdalena
mit der verschütteten Salbe unpraktisch umgegangen
sei und Schaden getan habe. Das war des Judas
Meinung, denn er dachte sie praktischer zu
verwerten. Und was soll ich viel und lange vom
Dolmetschen sagen? Wollte ich die Gründe für
meine Worte und die Gedanken, die dahin gehören,
nachweisen, so würde ich wohl ein Jahr daran zu
schreiben haben. Was Dolmetschen für eine Kunst
und Arbeit ist, das habe ich wohl erfahren.

Das kann ich mit gutem Gewissen bezeugen, dass
ich bei meinem Dolmetschen meine höchste Treue
und Fleiss bewiesen und nie falsche Gedanken

dabei gehabt habe.

Edith Hallwass (Mehr Erfolg mit gutem Deutsch, Stuttgart 1976 pg. 50) comenta: "Goethe liess Faust zweifeln, wie er das griechische Wort 'logos' übersetzen sollte. Wort? Sinn? Kraft? Faust entschied sich für 'Tat'. In der lateinischen Bibelübersetzung steht an dieser Stelle 'verbum'. Verbum war für die Römer 'Wort' schlechthin. Wenn unsre Grammatik inzwischen 'verbum' auf das Wort der Tat, auf das Tätigkeitswort eingeengt hat, so ist dies bezeichnend: das Tätigkeitswort ist sozusagen das Wort." A nomenclatura gramatical alemã denomina o verbo "Zeitwort" ou "Tätigkeitswort".

A colocação das palavras é um problema no ensino da língua alemã. Acho muito boa a solução do professor Fritz Pietzsche em "Aprenda a Língua Alemã", pág. 64 seg.:

81 WORTSTELLUNG

Colocação

Que acha da seguinte sentença: Eu quero o rádio, ouvir! Ou desta sentença: Eu não posso o barco ver?Muito esquisito, não é? Mas no idioma alemão uma ordem assim é perfeitamente normal.

Quando tem uma forma verbal composta (p.ex., verbo modal + verbo), o alemão põe um verbo no início e o outro, no fim da frase: Ich will das Radio hören. Ich kann das Boot nicht sehen. O verbo significa atividade, e, representando uma força propulsora, pode ser comparado a uma locomotiva. E dois verbos são duas locomotivas, uma para puxar o trem, e a outra para empurrá-lo. O alemão, pelo menos, prefere esta técnica, ao passo que o português põe as duas locomotivas à frente do trem.
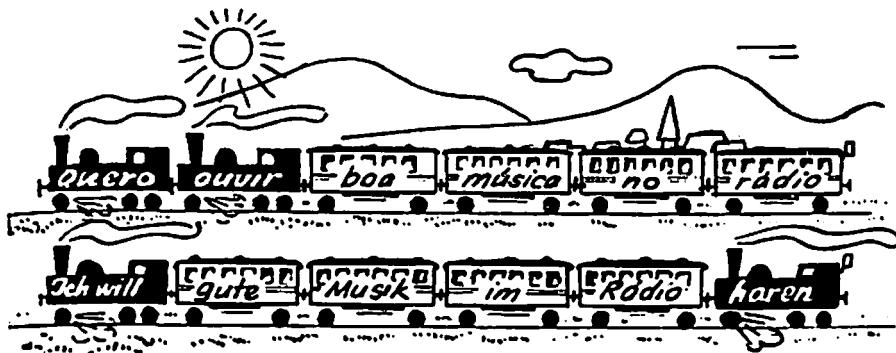
A idéia das duas locomotivas não somente se aplica nas aulas com

crianças.

Para se ter sempre uma escolha de verbos disponíveis, recomenda-

se agrupar expressões do mesmo sentido geral. Assim, é formado o

que chamamos "Wortfeld". Um exemplo da "Kleine deutsche Stillehre,

pág. 33" de Wilhelm K. Jude, Wiesbaden apresenta o verbo "gehen".

DAS WORTFELD GEHEN

```
                    aufbrechen
            sich aufmachen sich begeben
                  eilen hasten laufen
        rennen  sausen jagen schreiten stolzieren
      flitzen flitschen              schleichen schlendern
      rasen fegen                    flanieren bummeln
   stürmen                                streichen
   stürzen                                streifen
   traben                                 schweifen
   trippeln                               lustwandeln
   trappeln                           spazieren (gehen)
 huschen                                  sich ergehen
 witschen                                 wandern
 schließen schlüpfen                      marschieren
   latschen            g e h(e) n        wallfahr(t)en
   stelzen           altertümlich:              wallen
     staksen             gahn                  pilgern
     steigen                                  tippeln
      stapfen                               walzen
       stampfen                            trotten
        lapsen                           trotteln
         waten                           trödeln
           watscheln                   hausieren
            wechseln                   schnorren
            kreuzen                    pendeln
```

queren   birschen
* passieren   (er)klimmen*
*   sich schlängeln   (sich) schieben*
*   ziehen zuckeln zockeln*
*   streunen strolchen stromern zigeunern*
*   humpeln hinken stolpern poltern*
*   schlurfen schlürfen gleiten schweben*
*   dringen drängen drängeln*
*   sich nähern (ein)treten*
*   sich packen sich trollen*
*   sich empfehlen   sich zurückziehen*

Examinando os verbos do grupo "gehen", verificamos que não existem
dois verbos de sentido completamente igual. Isto é o caso também
com outros grupos verbais. Não temos sinônimos entre os verbos.
Mais uma prova da prevalência do estilo verbal em alemão.
Entre substantivos, os sinônimos são mais freqüentes. Através da
tradução de palavras estrangeiras são gerados sinônimos, por exem-
plo: Telefon - Fernsprecher

        Automobil - Kraftwagen

        Radioapparat -- Rundfunkempfänger
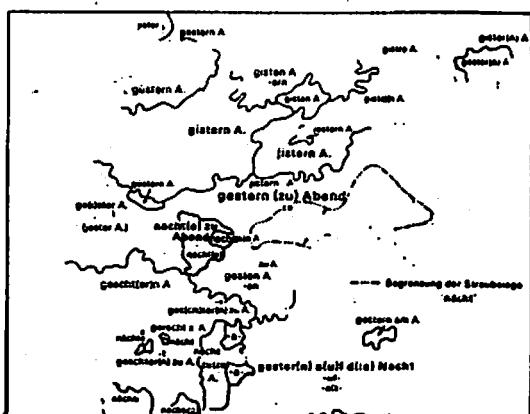
        Konsum -- Verbrauch.

Substantivos designando objetos da vida diária são diferentes em
cada região da Alemanha. Isto explica a existência de dois nomes
para o sábado, "Sonnabend" e "Samstag". Alguns mapas do "Atlas zur
deutschen Sprache" de Werner König, München, 1978, págs. 182-183
contêm os nomes das estações do dia e das merendas.
Lutero dizia que os dialetos não deixam os alemães do norte enten-
derem os do sul - "sonderlich, die nicht gewandert sind". O alemão
comum tanto falado como escrito ainda hoje recebe muitas palavras
dos dialetos.

182 Die deutschen Mundarten/Wortschatz
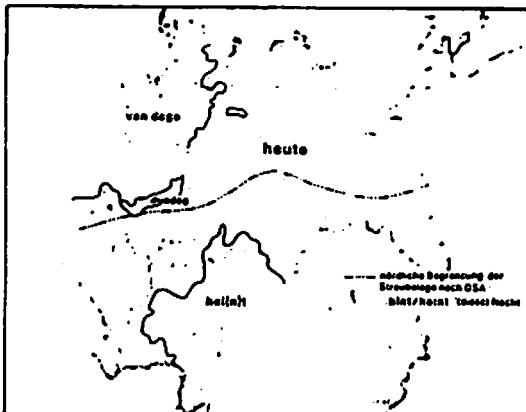
Die Bezeichnungen für Arute in den Mundarten des ehem. dt. Sprachgebiets

Die Bezeichnungen für gestern abend in den Mundarten des ehem. dt. Sprachgebiets

Zeitabteilung II: dieses Jahr; gestern/heute 183

Die Bezeichnungen für Arute morgen in den Mundarten des ehem. dt. Sprachgebiets

Além das expressões da vida caseira, do campo, da rua, das diversas profissões e das feiras, os dialetos dispõem de um vocabulário amplo de xingamentos. Lutero usou nos seus panfletos às vezes expressões bastante fortes. Não são palavras das camadas sociais inferiores, mas por exemplo: "Esel" ou "Buchstabilisten" (Vide "Sendbrief vom Dolmetschen"). Dizia Hans Eggers no seu livro: "Das Frühneuhochdeutsche", Hamburg, 1969, pág. 164: "Zwar weiss man noch wenig über die soziologische Schichtung des deutschen Wort - und Ausdruckschatzes zur Zeit Luthers. Soviel aber steht fest: Auch die hohen Herren (und Damen), Fürsten, Gelehrte, Patrizier konnten bei Gelegenheit höchst unverblümt schimpfen. Was Luther auf Markt und Gassen hörte, klang zuweilen in Palästen und Patrizierhäusern, die auch sein Ohr hatten, nicht viel anders. Gewiss denkt der Reformator mit besonderer Neigung an das schlichte Volk, aber er schrieb in der gleichen Sprache auch an den christlichen Adel. Er will von jedermann verstanden werden, und der "gemeine Mann", von dem er spricht, ist der "ungelehrte" Mann.

Entre os variados xingamentos predominam os nomes de animais. Algumas palavras deste gênero, do tempo de Lutero, são usadas ainda hoje, mas perderam um pouco da sua força, por exemplo: "Esel", "Eselei", "Eselsbrücke" (pons asinorum), Eselsohren. Uma coleção de nomes de animais de Wilhelm Georg Heckmann, "Tiere, Begleiter unsrer Sprache", Münster 1975, explica o uso de "Aal" até "Zwiebelfisch", mais de 1.000 nomes. Nem todos são xingamentos ou maldições; muitos expressam carinho, como "Kätzchen", "Mäuschen", "Häschen", "Würmchen".

Outros nomes servem para designar ferramentas. Estas três categorias têm correspondências em português, porém os nomes de ferra-

mentas não são os mesmos, por exemplo: macaco, pé-de-cabra, bico-
de-papagaio; exemplos em alemão: "Fuchsschwanz", "Storchschnabel",
"Wasserhahn", "Laufkatze". Alguns anos atrás achei no museu de
Nürnberg,"Germanisches Nationalmuseum", um pergaminho entitulado
"Schimpf,mit Sachs". Hans Sachs (1494-1576) e o mestre cantor de
Nürnberg e contemporâneo de Lutero. Os xingamentos escolhidos das
obras de Hans Sachs dirigem-se a homens e mulheres (vide folha
anexa). Mais sistemática tem o livro de Dr. Heinz Küpper,
"Berufsschelten und Verwandtes" o quarto volume do "Wörterbuch
der deutschen Umgangssprache", Hamburg,1966 e o quinto volume en-
titulado "10.000 neue Ausdrücke von A - Z, Sachschelten". Cada
expressão do alemão moderno e explicado, sendo que o momento de
abafo traz inspirações.

   Mas não somente xingamentos enriquecem a língua comum.
Muitas expressões e fórmulas fixas e provérbios contribuem para a
plasticidade de estilo. Expressões idiomáticas como também prover-
bios esclarecem bem nitidamente o sentido de um texto. E cada um
compreende. Dizia Lutero "Wes das Herz voll ist, davon geht der
Mund über." (Vide"Sendbrief vom Dolmetschen"). Das inúmeras cole-
ções de provérbios quero mencionar dois dicionários: Lipperheide,
"Spruchwörterbuch", Berlin, 1976, Neudruck do ano 1907 e Krüger-
Lorenzen, "Deutsche Redensarten und was dahintersteckt", München
1982. Muito divertida é uma comparação dos provérbios alemães
com os portugueses, por exemplo, "Ein Prophet gilt nichts in
seinem Vaterland", "Santo de casa não faz milagre", ou: "Kleider
machen Leute", "O hábito não faz o monge". Também entre as expres-
sões idiomáticas tem correspondência: se alguém adula uma pessoa,
se diz em alemão: "der geht ihm um den Bart", em português sim-
plesmente: "Está puxando o saco".

Schimpf mit
Sachs

ferbe Blumgn	febe Negng	Soberlump
Bißgurrn	Suchßl	Susnscheisser
Studschala	Zumederwurzn	Orschmannslorla
dumma Gons	alde Reism	Diddlasbadscher
Draadschn	Länggfeckn	glans Sabbala
Schlambm	Schwerdn	Sinderfotz –
Druudschala	Schbunotmachdl	Gnäifierl
Grrinmachala	obundne	Gnirdlarhnubf
Sobergaaß	Bloudmerschd	Lausgrranabb
Sirdschn	alda Gulln	Ranclratz
Grambshenna	dumma Dolln	Gnaumtzr
Kirchbuufgrouba		Grambsbolln
Granbärschdn	#	Lahmorsch
Bridschla	Bloaorsch	Bfobferr
Raffl	Orschgeggas	Bimbalerrichdi
Rufchl	Belferr	Ruuglrffl
Schnelln	Dolbi	Schlorcher
alda Schersn	Dreggbardl	Schmarrr
Schreggschraubm	schbigleds Gaggo	Meadlasgoggrrr
Drambl	Srggger	alder Dabderrr
Waafm	Grischbels	junger Dubderrr
mambada Rouh	Gacherr	bfuffns Wengschnbla
alda Zanga	Goggrrr	Raadala-af-alle-Subbm

Muito freqüentes são em alemão as expressões de dois ou mais ele-
mentos formando um só conceito, por exemplo: "sich drehen und
wenden","weit und breit", "nicht wanken und weichen". São expres-
sões bem antigas. Elas rimam pela consoante inicial: "zittern und
zagen", "durch dick und dünn, blink und blank, verraten und
verkauft",ou pela vogal radical e algumas têm rima final: "Saus
und Braus", "Dach und Fach", "Gut und Blut", "schalten und walten",
"recken und strecken", "Ach und Krach", "ohne Saft und Kraft",
"Singen und Klingen", também são permitidas repetições: "Schlag
auf Schlag", "rollte und rollte" ou preposições: "durch und
durch", "um und um". As expressões mais recentes têm rima final:
"Borgen bringt Sorgen".

Um meio de estilo muito usado é a interrogativa. Mas nem
todas as perguntas pedem uma informação ou servem para ampliar o
saber. Informação não é a finalidade das perguntas de testes,
"Prüfungsfragen" ou "Lehrerfragen". Muitas perguntas em alemão
não pedem uma resposta, por exemplo, "Willst du endlich ruhig sein?"
ou "Kannst du nicht pünktlich sein?", estas perguntas expressam
uma intimação. Ou por exemplo, "Soll ich Ihnen helfen?" é uma
oferta. As perguntas podem ser modificadas através de partículas
modais, como: "doch", "eben", "aber", "etwa", "ruhig", "auch",
"halt", "wohl", "überhaupt", "denn", "allein", "sonst", "schon",
"noch". Estas partículas modais, Lutero usou na sua tradução con-
seguindo uma linguagem compreensível. Um exemplo: o Evangelho de
São Lucas, 15,29, a parábola do filho pródigo:
"---- er aber antwortete und sprach zum Vater: Siehe, so viel
Jahre diene ich dir und habe dein Gebot noch nie übertreten, ---"
A partícula "noch" modifica o sentido da frase. Partículas modais,
em alemão, também chamadas "Kleinwörter" ou "Würzwörter" são usadas

também em frases afirmativas. Nem todas têm tradução, mas algumas
são usadas da mesma maneira em português. Um exemplo: "Kommen Sie
ruhig eine Stunde später", "Venha tranqüilamente uma hora mais
tarde".

No estilo de Lutero observamos também o elemento poético.
Às vezes ele rima, por exemplo, no Evangelho de São Lucas 2,12
"Ihr werdet finden das Kind in Windeln gewickelt, und in einer
Krippe liegen". Um talento do reformador e o que chamamos "das
innere Ohr", ouvido interno. Ele ouviu o que escreveu, assim o
seu estilo tem muita arte, mas sem ser artificial.
Interessante uma recomenda   de Broder Christiansen no seu li-
vro, "Kleine Prosaschule",Stuttgart 1952. A primeira regra para
escrever boa ficção: "Erste Regel sei: Laut schreiben!" Isto é,
escrever em voz alta. A escrita também é língua.
Muitos autores procuram ensinar escrever um bom estilo marcando os
erros e dizendo o que o escritor deve evitar. Dois exemplos de
Bernt Engelmann no seu livro: "so deutsch wie möglich, möglichst
deutsch", München, 1969. Ele condena com muito humor o pleonasmo,
nas págs. 82-83.

UNSERE GEGENWART

Nicht jedermann befällt ein Spasmus,
vernimmt er einen Pleonasmus.*
Zwar lacht man über *feuchte Nässe*
und die so *edele Noblesse,*
die *göttliche Divinität*
und gar die *selt'ne Rarität,*
doch, wer, so frag' ich nur mal zart,
verlacht noch *unsre Gegenwart?*
Der Mensch *neigt* ja zu der Tendenz
und gibt *beredter Eloquenz*
gläubig Kredit. Erst von *gemachter*
Erfahrung losgelöst , da lacht er!

*Pleonasmus = Überfluss, überflüssige Häufung
gleichbedeutender Wörter, zum Beispiel:
weissen Schimmel.

GEMEINSCHAFTLICHES ZUSAMMENWIRKEN

Ach, wollt Ihr, bitte, anstatt Spinnern
zu glauben, Euch nicht *rückerinnern!*
Das ist nicht klarer, nein, nur doppelt
(jedoch nicht doppelt gut) gemoppelt!

Auch sollte man sich davor hüten,
gedankenlos *rückzuvergüten!*
Genauso muss man strikt sich weigern,
etwas *meistbietend zu versteigen*

Wirkt man *gemeinschaftlich zusammen,*
so ist dies gleichfalls zu verdammen!
Angeblich soll das zwar sehr fein sein
(genau wie *echt rheinischer Rheinwein*),

doch *darf mit Recht* die gute Sache
unserer deutschen Muttersprache
verteidigt werden - wenn auch nie
ganz ohne jede Ironie...

POLÍTICA E FILOSOFIA DE EXTENSÃO DA FACULDADE DE LETRAS

Profa. Ana Maria de Almeida
"A Estrutura Administrativa"

Profa. Maria Helena Rabelo Campos
"A Filosofia da Extensão"

Profa. Maria Cristina Esteves G. da Costa
"O Audio-Visual"

Profa. Maria Helena Lott Lage
"Cursos de Extensão de Inglês Instrumental"

Profa. Else Ribeiro Pires Vieira
"Laboratório de Tradução" — (abaixo, texto na íntegra)

O Laboratório de Tradução, vinculado ao CENEX, foi criado em 1975, com os seguintes objetivos:

a) prestação de serviços de tradução do alemão, espanhol, francês, inglês e italiano à comunidade;

b) treinamento de estagiários nas técnicas de tradução;

c) criação de um Banco de Dados e de Terminologia.

Os três primeiros anos de existência do Laboratório foram caracterizados, por um lado, pela tentativa de estruturação administrativa e, por outro lado, por esforços de formação científica do pessoal a ele vinculado. Para propiciar a formação de pessoal numa área ainda incipiente na UFMG, foram promovidos cursos teóricos e práticos, dos quais destacaríamos o do professor Daniel

Moskovitch, da Escola Superior de Interpretação e Tradução da
Universidade de Paris, e o do professor Paulo Rónai, tradutor e
autor de livros relevantes sobre tradução.

O exercício consciente da tradução com bases científicas
e vinculado à pesquisa constitui sempre a meta principal do Labo-
ratório, o que relega a um segundo plano possíveis fins lucrati-
vos. A exemplo do que é feito em outros países, onde a tradução
tende a ser tarefa de linguistas e não de práticos, tentamos va-
ler-nos do nosso embasamento linguístico, sócio-linguístico e
psico-linguístico para abordarmos a tradução através da reflexão
teórica e por uma práxis consciente. Aliás, convém ressaltar que
uma universidade oferece todo um arcabouço que propicia a conso-
lidação de uma práxis consciente da tradução. Como se sabe, a tra
dução consciente envolve não só o papel do tradutor, como também
os papéis de revisor da tradução e dos assessores (orientadores
técnicos e terminológicos, no caso de uma tradução técnica).

·Após os três primeiros anos de estruturação administrati-
va e formação científica, o Laboratório prestou relevantes traba-
lhos à comunidade, dos quais destacaríamos as seguintes traduções:
1. "Psicofísica e Psicologia do Tempo" de Giovanni Vicário, tradu
   zido por Maria Eneida Farias em 1978;
2. *Piglet. Relato do Tratamento Psicanalítico de Uma Menina*, publi-
   cado em 1979 pela Editora Imago, traduzido por Rosa Sá Martins
   e por mim;
3. *Estudos sobre Técnica Psicanalítica*, de H. Racker, publicado
   pela Editora Artes Médicas, traduzido por José Cláudio de Abreu
   em 1980;
4. *Psicologia da Gravidez, Parto e Puerpério*, de Raquel Soifer,
   publicado pela Editora Artes Médicas, traduzido por Ilka Vale

de Carvalho em 1980;

5. *1964:A Conquista do Estado*, publicado pela Editora Vozes, tra-
   duzido por mim e colaboradores em 1981.

A tradição firmada, entre os meios editoriais e acadêmicos,
de um trabalho consciente e sério do Laboratório de Tradução da
FALE foi, todavia, o resultado do idealismo da Coordenadora e dos
Supervisores dos Setores do Laboratório. Teoricamente, os membros
do Laboratório teriam uma redução da carga didática para exercer
as atividades de tradução, pesquisa e treinamento de estagiários.
Tal redução nunca se verificou na prática. Pelo contrário, o au-
mento expressivo de encargos dos professores da UFMG, nos últimos
dois anos, praticamente impossibilitou a continuidade dos nossos
trabalhos. Entendemos que este aumento de encargos é conjuntural.
No entanto, é necessário que os departamentos da FALE se consci-
entizem e assumam a tradução como tarefa do lingüista e não de
práticos com a maior urgência, antes mesmo que a tradição por
nós arduamente formada caia no ostracismo.

KAFKA NA COLÔNIA PENAL[1]
(Comentários à margem do texto: uma leitura do mito)

Vera Lúcia Casa Nova - UFMG

> "A literatura tem menos a ver com
> a história literária do que com o
> povo".
>
> (Diários 25/12/1911)

Chega a uma colônia penal um explorador. A principal curio
sidade, ou atração, dessa colônia é uma máquina que executa penas
capitais. Máquina que fora inventada pelo antigo comandante da co
lônia. Através de agulhas, a sentença (a culpa) é inscrita no cor
po do condenado, que ignora seu conteúdo e que só deverá decifrá-
la pouco antes de morrer, depois de ter passado pela tortura. O o
ficial que exibe a máquina ao visitante reproduz nos seus mínimos
detalhes a ordem do antigo comandante, mesmo sabendo que a máqui
na está em desuso, e o método de penalidade combatido pelo novo
comandante da colônia. O oficial descreve com detalhes o funciona
mento da máquina,tentando "seduzir" o visitante para aquele méto-
do de tortura, mas se interessa mais pela sorte do condenado (sol
dado) do que pela máquina.

O prisioneiro é condenado à morte por "desobediência e in
sulto aos superiores" e deve decifrar sua sentença: "Honra a teus
superiores". Desconhecendo que já fora julgado e desconhecendo o
veredito, olha os preparativos sem entender, "caninamente submis-
so". O soldado que o acompanha também não compreende nada, nem as

explicações que o oficial dava ao visitante, pois aquele falava em francês. O condenado vai para a máquina. Mas o oficial já não encontrando a compreensão de seus contemporâneos, nem tampouco do visitante, solta o condenado e o manda embora, e resolve executar o castigo na própria carne, modificando o texto que será inscrito na carne: "Sê justo". Tira a roupa, quebra sua espada e coloca-se na máquina, colocando-a em funcionamento. O visitante não intervém; a execução começa, mas a máquina, que inicialmente funciona bem, desfaz-se em pedaços, matando o oficial, sem que este conheça o êxtase concedido aos condenados. O estrangeiro vai a uma confeitaria (casa de chá) com o soldado e o condenado; debaixo da mesa está o túmulo do antigo comandante, com um epitáfio profético: o comandante irá ressuscitar: "crede e esperai!"... O explorador vai para o porto. O soldado e o condenado tentam alcançá-lo, mas o explorador com uma pesada corda ameaça-o com ela, e evita que os dois saltem no barco.

O resumo não nos diz muito desse conto singular, desse "rabisco" (Kafka), desse "arranjo experimental" (Benjamin) que é o embrião do *Processo*. Escrito em 1914 e publicado em 1919, o conto fez rir a quem o leu. E ainda o faz. O riso do humor negro, o riso do medo, do espanto, da abjeção ou da embriaguez.

Ler *Na Colônia Penal* mais de meio século depois que foi escrito faz com que, reconheçamos Kafka como aquele que intuiu uma sociedade, ou mesmo um sistema político, cujas formas de violência forjam vítimas e as sacrificam. Uma colônia em moldes nazi-fascistas, uma penitenciária numa ilha tropical, cujo desejo de seus habitantes é o da libertação política, econômica, social, logo também cultural.

A verdade é que Kafka nesse conto parece instaurar o pesadelo na ficção. Um pesadelo que constrói uma poética do imaginário, e por isso fascina, ao mesmo tempo que equivoca. Esse mistério de sua poética, que se faz através de imagens; que nos faz ver coisas reais, através de sua própria irrealidade, na produção de significações múltiplas, nos conduz a pensar o fantástico, através do engendramento mítico.

Herdeiro de vasta tradição e precursor de uma nova ficção, o texto de Kafka nos remete a reflexões sobre uma forma de narrar próxima à da narrativa fantástica.

> A *invasão* é o *diabo*. *Quando estamos possuídos pelo demônio, não pode ser um só, porque nesse caso viveríamos (pelo menos na terra) tranqüilamente, com Deus, em u nidade, sem contradição, sem reflexão , sempre seguros do ser que está por trás de nós. Seu rosto não nos espantaria,por que como seres demoníacos, sensíveis ante seu aspecto, seríamos suficientemente astutos para sacrificar com gosto uma das mãos, contanto que pudéssemos manter ocul to com ela esse rosto... Mas enquanto to dos esses demônios persistem dentro de nós, não nos é possível alcançar jamais um verdadeiro bem-estar.*[2] *(9 de julho, 1912).*

Este excerto dos *Diários* de Kafka por si só nos remeteria ao fantástico, tal como é classificado, ou caracterizado. Mas na *Colônia Penal* classificar temas ou motivos é prematuro. A morte, os fantas

mas, os monstros, o mundo de sonho e suas relações com o real, as modificações do espaço e do tempo são construídos singularmente, num verdadeiro exercício do inconsciente.

Tomando-se fantástico como objeto da imaginação, pressupõe-se que não existe realidade fantástica, mas objetos fantásticos, que são uma "outra" forma de se imaginar o mundo. Ou seja, a máquina de tortura da *Colônia Penal* não é verdadeira, mas uma metamorfose imaginária particular. Daí o leitor, envolvido pela leitura de seu texto entre o real possível e o impossível, passar assim a duvidar da Colônia, a "estranhar" o que acontece, a estranhar as figuras presentes.

Não é o sobrenatural, comum ao fantástico, mas uma fratura. A máquina é mais do que a máquina, como um monstro é mais que um personagem monstruoso. A ruptura das relações com o mundo instaura uma união mesmo que paradoxal, com este mesmo mundo. Por isso, o fantástico pode ser definido como "experiência imaginária dos limites da razão".[3]

Assim, familiaridade e estranhamento, efeitos de leitura, são tecidos pela enunciação do narrador. A naturalidade é perturbada pelo insólito, o limite entre o dentro e o fora da narrativa torna-se incerto. O movimento da narrativa se faz nesse jogo: ir e vir do estranho ao familiar, do "real" ao "irreal", do "normal" ao "anormal".

Nossa leitura não se adentra por esses efeitos, tenta, sim, uma decodificação do sistema de signos, ou seja, toma alguns elementos da narrativa, como por exemplo, a máquina de tortura como objeto semiótico, revelando os mitos e os fantasmas que estariam ligados na criação do fantástico.

O Possível Fantástico

A sensibilidade para com o fantástico, traço fortemente cul
tural, advém de "atitudes" mentais culturalmente determinadas. No
Ocidente supõe-se uma dualidade eterna entre o racional e o irra-
cional, porém a tradição judaica atenuou essa polaridade.[4] Os
textos sagrados dos judeus estabeleceram relações muito diferen-
tes com o fantástico. Na Bíblia, nos comentários, nas exegeses
pós-bíblicas, no Talmud, as fábulas, as parábolas, as magias não
eram consideradas como pertencentes à esfera do fantástico.

Sabe-se que Kafka por volta de 1911-1912, estudou o folclo
re judaico, passando pelos contos talmúdicos, adaptações do Penta-
teuco, lendo literatura íidiche, que era de natureza popular (so-
bretudo teatro), conforme atestam páginas de seu diário.

Chamamos a atenção para esses detalhes, pois acreditamos
que certas imagens dos sonhos e dos mitos correspondem a certos ele
mentos coletivos (não tão-somente pessoais), constitutivos do in-
consciente, sendo, inclusive, hereditários; como havendo uma cama-
da psíquica coletiva (o que Jung chamou de "inconsciente coleti-
vo"). Assim, a máquina seria um dos mitos (mito como estrutura
simbólica, como significado profundo, como sistema semiótico, co-
mo cenário mutável) da escritura Kafkiana, dentro da nossa hipóte-
se de análise.

Do ponto de vista histórico, a escritura Kafkiana se ofere-
ce como um capítulo da mitologia moderna, e numa reflexão especifi
camente da história literária, uma transformação do mito de Golem,
da lenda judaico-kabalística, o homem-robot.[5] Observe-se que na
literatura judaica e alemã do século XIX, muitos autores românti-

cos viram no Golem, um símbolo dos conflitos interiores e dos combates. No romance fantástico de Meyrink, o Golem aparece como uma imagem simbólica do caminho para a redenção. Procedente de concepções hindus tanto quanto de tradições judaicas, essa figura representaria a alma coletiva materializada do Gueto, com todas as sombras do fantasmático; em parte um sósia do herói, um artista que combate por sua redenção e que purifica messianicamente o Golem, seu próprio eu não resgatado. Num sentido mais interiorizado, o Golem é uma imagem do seu criador, a imagem de uma de suas paixões, que cresce e esmaga-o. Significa também que uma criação pode ultrapassar seu autor, que o homem é um aprendiz de feiticeiro e que, se Mefistófeles tem razão, o primeiro ato em nós é livre; mas somos escravos do segundo.

A Colônia Penal é possível, então, de ser lida como um cenário mítico que remete a seu meio ideológico, e a situações concretas de que ele é a representação fantasmática. A máquina, o Golem, é a deriva do mito judaico que se interliga com outros mitos, como o vampiro, tão caro à escritura de língua alemã.

A máquina seria o mito metamorfoseado, o mito em processo, em mudança, do Golem, do Vampiro. Variações destes mitos, mas que conservam mitemas cardinais, apesar da ruptura. Mito, como espaço da ideologia, estruturado como fantasma, cuja existência se dá em todas as coletividades humanas, quaisquer que sejam sua forma institucional e seu desenvolvimento tecnológico e cultural.

> O destino das comunidades humanas se avalia
> em função do poder que guardam sobre elas
> os mitos que as condicionam.
> (Breton)

... *Mitos e Fantasmas*

O termo "fantasia" designa, no vocabulário romântico, a ima-
ginação feérica, o devaneio, o delírio fantástico. Freud fez disso
um conceito científico, chamando-o de procedimento de simbolização.
Laplanche e Pontalis, traçando a história do conceito, propõem a
seguinte definição:

> "cenário (encenação) imaginário onde o sujeito está presente
> e que figura, de forma mais ou menos
> deformado pelos processos defensivos,
> a realização de um desejo e, em última instância,
> um desejo inconsciente".[6]

O que nos interessa nessa definição, por enquanto, é o se-
guinte: um cenário é composto de seqüências que se encadeiam: ce-
nas estruturadas ou imagens. Com relação a estruturas fantasmáti-
cas típicas, a psicanálise nos mostra uma tentativa de organização
da vida fantasmática, quaisquer que sejam as experiências pessoais
do sujeito. A universalidade desses fantasmas se explica, segundo
Freud, pelo fato de que eles constituiriam um patrimônio transmi-
tido filogeneticamente, eles remeteriam a cenas da vida intra-ute
rina ou a práticas arcaicas do tempo das "origens da família-huma
na", práticas fundadoras dessa instituição, cenas de castração,
etc., escondidas na memória coletiva, ressurgindo na vida fantas-
mática dos indivíduos ou transmitidas sob a forma de mito.

Não nos resta dúvida que tais fantasmas são culturais, li-
gados que estão à persistência de estruturas sociais determinadas.

São coletivos, mas talvez não sejam universais.

Por outro lado, a "cena originária ou arcaica" apaga a fronteira entre o psiquismo individual e o psiquismo coletivo, entre os fantasmas pessoais e os mitos. As estruturas míticas têm, por sua vez, características de cenários "fantasmáticos". Os mitos condensam imagens, transferem significações, buscando sua matéria na memória cultural. Tanto os mitos como os fantasmas individuais são respostas a situações intoleráveis, eles vivem enquanto as situações persistem; a matéria de que se compõem pode mudar com o tempo, mas sua arquitetura é estável.

Segundo J. Bellemin-Noël, "o fantástico é uma maneira de contar, o fantástico é estruturado como o fantasma".[7] Se é contando que se faz o fantástico, é por isso que ele depende tanto do caráter do narrador, de seus mecanismos narrativos. É justamente o papel do narrador nesse conto que nos leva a pensar a forma em que o fantástico se manifesta em Kafka.

Não é um "eu", é uma não-identidade, uma espécie de alterego que testemunha as ações na *Colônia Penal* e nos chama a atenção para o "aparelho".

— "É um aparelho singular" — disse o oficial ao explorador. "O explorador parecia ter aceito *apenas* por cortesia... o explorador não se interessa muito... visível indiferença"...

É essa não-identidade que nos conta a estória. Distante, demoniacamente "Outro". Qualquer reflexão sobre a narrativa Kafkiana deve começar por aí, pela confrontação dos seus mecanismos de questionamento da enunciação com os de ocultamento da "voz" geradora do texto. Se a enunciação na narrativa é a própria visão do mundo, é a fantasmagoria que nos permite que se enlacem coisas

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cuja identidade e proporções não são definidas. Na *alegoria*[8] cada
coisa pode significar outra qualquer. Visão do mundo ou ficciona-
lização da realidade.

O narrador é incapaz de construir uma significação; ele am
plia o enunciado com outros significantes que definam melhor as
figuras do conto. É exemplo disso o que ele nos diz sobre o conde-
nado:

> ... *tinha um aspecto tão caninamente sub-*
> *misso, que ao que parece teriam podido*
> *permitir-lhe correr em liberdade pelos*
> *campos circundantes, para chamá-lo com*
> *um simples assovio quando chegasse o mo*
> *mento da execução.*[9]

E é assim que engendra todo o mecanismo do insólito dentro
do conto, armando o jogo através da retirada na narrativa, deixan
do ao oficial sua condução. "O enunciado não remete a um sujeito
de enunciação que seria sua causa, assim como também não remete a
um sujeito de enunciado que seria seu efeito".[10]

Por isso também é uma figura equívoca, ambígua. Arma o "du-
plo" na medida em que a *crise* se intensifica e faz oscilar os li-
mites de oposição entre os personagens. Ele se desdobra na medida
dos outros desdobramentos, sabota a narração, através da sua dis-
persão.

Carrasco e soldado vivem a identidade dos duplos. As dife-
renças são abolidas. Como não há mais diferenças e a identidade é
perfeita, arma-se o duplo. E assim se evidencia o caráter de tro-
ca, que assegura a substituição sacrificável. O narrador arma um

mecanismo que assegura a substituição do sacrifício no seio da comunidade em crise — a Colônia Penal.

Como os duplos são sempre monstruosos, os monstros são sempre desdobráveis; logo, máquina, oficial, soldado, explorador, todos estariam ligados por traços de identidade e fundidos.

Essa retórica do jogo narrativo engendra, entretanto, a significação da máquina, sua abjeção, fora e dentro do texto, incluindo se aqui, o político, o religioso, o moral e também a *tradição*.

Voltando-se ao cenário mítico e fantasmático do conto, a máquina é reveladora de uma outra hipótese — a de que o velho comandante, desdobrado no oficial e sua máquina *são um só vampiro*. Essa elisão é possível, pois o retorno do velho comandante nos é enunciado como crença, ao final do conto, na inscrição da lápide da sepultura.

> *Uma profecia diz que depois de determinado número de anos o comandante ressurgirá, e desta casa conduzirá seus partidários para reconquistar a colônia. Crede e esperai!*[11]

No desdobramento do velho comandante no oficial, realizados pelas identidades, impõe-se o desdobramento da máquina

Ora, quem é o vampiro? é um morto que supõe-se sair de seu túmulo, para vir sugar o sangue dos vivos.[12] Diz a tradição que aqueles que foram vítimas dos vampiros, tornam-se vampiros também; eles são sugados e contaminados. O fantasma atormenta o vivo pelo medo, o vampiro o mata, tomando-lhe sua substância vital; ele sobrevive através de sua vítima. Em realidade, transfere-se para

o "outro" esta fome devoradora de viver, enquanto que ela é um fe-
nômeno de auto-destruição. O ser se tortura e se devora a si mes-
mo. Não se reconhece responsável por seus atos, acusa o "outro".
Quando o ser se assume e aceita sua mortalidade, o vampiro desapa-
rece.

O oficial contaminado pelo sangue do primeiro vampiro, re-
produz rituais vampirescos. Através dos condenados, a máquina so-
brevive e com ela o velho comandante. Este transfere para o ofi-
cial a fome de sangue, enquanto esse desejo de vida aponta para o
fenômeno da auto-destruição. Ao se torturar, e se deixar devorar
a si mesmo através da máquina, o oficial assume sua inutilidade,
logo também a inutilidade da máquina, daí seu desmantelamento. É
a dissolução na dialética de sua recuperação, com o retorno do ve-
lho comandante.

Assim, a máquina Kafkiana aparece como um novo elemento do
repertório cultural, condensando e deslocando, substituindo mons-
tros, golens, vampiros ou mesmo dráculas.

Seu conto contribui para uma renovação do gênero, no senti-
do de uma ruptura com os esquemas e os estereótipos míticos da es-
critura fantástica. Reinventa um clima, que toma emprestado do ex-
pressionismo, mostrando o outro lado da sedução — o estranho poder
do horror.

O horror, ou melhor, a abjeção que também é o "outro lado
dos códigos religiosos, morais, ideológicos, sobre os quais repou
sam o sono dos indivíduos e das calmarias das sociedades".[13]

A desintegração da máquina é também a destruição das ins-
tituições, o desmoronamento no cotidiano de seres presos na rigi-
dez de seus hábitos tradicionais.

A máquina é um traço, um rastro. Kafka nos mostra a tensão entre a organização de um mundo e a desordem, promovida pela moder nidade. Um personagem que nos mostra bem essa tensão é o explorador, um viajante, um distraído. É seu ar de distraído, que nos leva a pensar no modo de conhecimento mais adequado aos novos tempos. Esse explorador é o "flâneur" de Benjamin — aquele que postula o divertimento como princípio do conhecimento e do comportamento social.[14] Ele não se fixa na máquina, a não ser durante a execução do oficial. Apesar da visão do horror ele não se distancia, se separa da máquina. Ele contempla e não se deixa levar pelo oficial, por isso ao final do conto pode estabelecer sua identidade.

É o tédio que caracteriza esse explorador, e que é o sentimento que corresponde à catástrofe permanente. Da colônia para fora. Não ao interior, mas o exterior, mesmo que para a utopia da fuga. A Colônia Penal implica uma estrita disposição das "coisas" no seu interior (como o mundo burguês). O oficial está inserido perfeitamente em seu ambiente — a colônia é sua casa, daí a ligação obsessiva que mantém com a máquina, a ponto de lhe dar prazer e a ilusão do êxtase antes da morte. A máquina da morte e da vida, cujo valor simbólico é tão importante quanto sua função dentro da narrativa; ou ainda em seu valor alegórico, pois a alegoria é "fria e lúcida percepção da decadência inevitável da queda iminente.[15]

Na montagem desse pesadelo, Kafka explode a representação ao destruir a máquina e o oficial, fragmentando o fantástico, mostrando a ruína.

Profetizando, assim, os anos 20/30 da Alemanha — os tempos da desordem. Suas idas a Berlim fizeram-no perceber a transformação geral, o novo "espírito do tempo". Não esqueçamos que foi na

Alemanha Weimariana que se desenvolveu a primeira cultura autenti-
camente moderna.

O mundo vivido por Kafka era administrado, ordenado burocra
ticamente. Era o universo da representação. A literatura reprodu-
zia o real e o dinheiro exprimia o valor dos produtos. A moderni-
dade explodiria esse sistema. "O esquema tradicional da representa
ção, em que o objeto, o traço e o som encontram sua medida em algo
além deles próprios, não garante mais esta correspondência".[16]

Kafka está justamente nessa encruzilhada, entre a tradição
e o moderno. A Colônia Penal é a crise. Se sua máquina é a alego-
ria da ordem, da representação, ele desmantela-a em todos os ní-
veis. É o início da Vanguarda, a exacerbação da pulsão de morte
ou o limite da embriaguez.

Se o conto kafkiano destrói os limites precisos da realida-
de é porque se mantém no limite da loucura, "marca o acordo do ho-
mem com sua própria aniquilação, com a morte, com o movimento que
nela o precipita. Mas coloca o homem no pico da desordem que o ar
rasta. Ele percebe daí a extensão do movimento que, nos levando
ao pior, ao mesmo tempo nos eleva ao glorioso. Propõe ao homem
não acabar com o horror do mal, mas enfrentá-lo com um olhar lú-
cido. A literatura é a possibilidade de lucidez quando o sujeito
e a consciência são negados e destruídos.[17]

Se o conto kafkiano pressupõe a leitura dos mitos, é por-
que ele apresenta a "transmissão da vitória sobre o mito"[18] como
nos diz também Benjamin ao ler o Silêncio das Sereias; não é só
fantasia (ficção), é também um programa político e literário.

NOTAS

[1] KAFKA, Franz. Na Colônia Penal. *Contos*. Tradução Torrieri
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[2] _____. *Diários*. São Paulo, Livraria Exposição do Livro,
s/d, p. 218. Tradução Torrieri Guimarães.

[3] BESSIERE. Le récit fantastique. *Le Poétique de l'incertain*.
Paris, Larousse, 1974.

[4] ERTER, Rachel. Isaac Bashevis Singer: Le Fantastique Apprivoisé.
In: Les Fantastiques, *Rev. Europe*. Paris, Europe, 1980, p. 93.

[5] O Golem é o homem criado por meios mágicos ou artificiais, em
concorrência com a criação de Adão por Deus. CHEVALIER, J. &
GHEERBRANT, A. *Dictionnaire des Symboles*. Paris, Seghers, 1974,
2º vol.

[6] LAPLANCHE & PONTALIS. *Dicionário da Psicanálise*. Santos, Livra-
ria Martins Fontes, 2a. edição e edição francesa.

[7] BELLEMIN-NOEL, J. Notes sur le fantastique. In: *Rev. Littérature:
Le Fantastique* nº 8. Paris, Larousse, 1972, p. 3.

[8] Etimologicamente significa dizer "o outro".

[9] KAFKA, F. *Na Colônia Penal*, p. 139.

[10] GUATTARI, F. Deleuze J. Kafka: *Por uma literatura menor*. Rio de Janeiro, Imago Editora, 1977, p. 27.

[11] KAFKA, F., p. 172.

[12] Essa crença é particularmente divulgada na Rússia, na Polônia, na Europa Central, na Grécia e na Arábia. Veja-se Chevalier e Gheerbrant, op. cit., 4º volume.

[13] KRISTEVA, Julia. *Pouvoirs de l'horreur*. Paris, Seuil, 1980, p. 246.

[14] BENJAMIN, W.*Sens Unique*. Paris,Lettres Nouvelles, 1978, p. 251.

[15] PEIXOTO, Nelson Brissac. *A sedução da barbárie*. O marxismo na modernidade. São Paulo, Brasiliense, 1982, p. 149.

[16] _____. p. 10.

[17] BATAILLE, G. *La literatura y el mal*. Madrid, Taurus Ediciones, 1977, p. 124.

[18] BENJAMIN,W. Kafka. In: *Poésie et Révolution*. Paris, Denoël, 1971.

PAUL CELAN: "A REALIDADE NÃO É, PRECISA SER CONQUISTADA"

Veronika Benn-Ibler - UFMG

O título desta conferência é parte de uma resposta de Paul
Celan quando lhe perguntaram sobre os seus projetos literários e
sobre os problemas que mais o tocavam. Celan sintetiza assim a sua
cosmovisão e a meta a que ele se propõe como poeta. Podemos consi-
derar esta afirmação de Celan como seu manifesto literário, refor-
çado pelo fato de que ele a retoma, quase que literalmente, por
ocasião de seu discurso de agradecimento, quando lhe é conferido o
"Prêmio de Literatura da Cidade de Bremen", em 1958.

Paul Celan, nascido em 1920, é um dos expoentes máximos da
lírica alemã contemporânea. Além de poeta ainda foi tradutor. Entre
os seus vastos trabalhos consta a tradução de sete poemas de Fer-
nando Pessoa incluindo "Iniciação", "Auto-psicografia" e "Tabaca-
ria". De origem judaica Celan vivenciou os acontecimentos trágicos
da 2a. Guerra Mundial. Foi aprisionado, mas conseguiu fugir para
a Rússia. Terminada a guerra voltou para sua terra natal, a Romê-
nia, transferindo-se em seguida, para Viena. Somente em Paris
Celan se estabeleceu definitivamente. Em 1970 suicidou-se, atiran-
do-se no Rio Sena.

Walter Jens, um dos críticos de Celan, caracteriza bem a
trajetória errante e o espírito conflituoso e inquieto do poeta
quando diz: "falando em francês, pensando e traduzindo nas línguas
do leste e fazendo lírica em alemão".[1] Completamos esta afirmação,
acrescentando, que Celan criou desta maneira uma lírica das mais
ricas onde se intercalam experiências pessoais e influências histó-

ricas, culturais, sociais e religiosas dos povos de sua origem e de seu convívio.

Tendo em vista o tema deste trabalho "A Realidade não é, precisa ser conquistada", cabe-nos definir aqui o conceito de realidade de Celan bem como mostrar como o poeta tenta alcançá-la. Esclarecemos que consideramos a própria obra de Celan como a maior fonte informativa para a nossa abordagem.

Em seu mencionado discurso proferido em Bremen, Celan vincula o conceito "realidade" com a experiência dolorosa de ter visto desmoronar um país e seu povo, bem como desaparecer todo e qualquer sentimento de humanidade. Diz o poeta: "De palpável, de próximo e de não perda, dentre as perdas só restou uma coisa: a linguagem. Sim, ela, a linguagem não se perdeu apesar de tudo. Mas ela tinha que passar por tudo isso — pela sua própria falta de resposta, por um terrível emudecimento, pelas mil escuridões de uma fala mortal. Ela passou por tudo isso e não encontrou palavras para o que aconteceu — mas ela passou pelo acontecido, passou por ele e pode novamente acontecer, 'acrescida' de tudo isto. Nesta linguagem tentei fazer poemas — naqueles anos e nos anos após — para falar, para me orientar, para indagar onde eu me encontrava e para onde tudo me levava, para esboçar realidade para mim".[2] As várias repetições do verbo "passar por" que chegam a lembrar a famosa "pedra" de Carlos Drummond de Andrade no poema "No meio do caminho", mostram como foi árduo para Celan se convencer de que nem tudo estava perdido, que ainda era possível fazer lírica apesar dos sofrimentos vivenciados, criando um "modus vivendi" que seria a sua realidade. E esta realidade a que ele aspira constitui-se a partir do universo do poema que o poeta cria, procurando por uma linguagem capaz de comunicar seus sofrimentos, seus anseios e suas esperan-

ças. A luta de Celan pela realidade é, portanto, um incessante confronto com a linguagem levando-o a questionar, e em última análise, a recusar qualquer enunciado que implique numa definição em termos de sim ou não. A sua linguagem se entrega irrestritamente a construções ilógicas, a indecisões, contradições e paradoxos intencionando, com isto, que o seu *eu* se desvincule a tal grau do poema que este seja capaz de falar "em causa de outrem", "em causa de outrem bem diferente"[3] como disse Celan quando homenageado com o prêmio de literatura Georg Büchner.Parece paradoxal procurar o distanciamento de si mesmo por meio de uma linguagem que não hesita diante de paradoxos para conquistar o seu espaço de vida. Mas isto é peculiar a Celan. Sintetiza-se desta forma o malogro bem sucedido de sua linguagem poética, que no seu assalto ao indizível fracassa, provando assim, entretanto, a existência do indizível. Em outras palavras, a realidade tão almejada pelo poeta não pode ser expressa através da linguagem, levando-o a um emudecimento.

Através da análise de alguns poemas e de versos representativos procuraremos mostrar como se manifesta em Celan a luta pela linguagem e conseqüentemente pela realidade.

O poema "Fuga da Morte" parte da Coletânea *Papoula e Memória*, publicada em 1952, constitui dentro dentro da produção lírica de Celan um ápice. Os críticos costumam comparar a importância desta obra para Celan com a de *Guernica* para Picasso. A "Fuga da Morte" espelha os martírios nos campos de concentração da Alemanha. Nosso intuito aqui, porém, não é reativar os acontecimentos trágicos da Segunda Guerra, mas mostrar no poema em questão o tratamento estético de um poema considerado antiestético.

FUGA DA MORTE

Paul Celan

I   1 Leite negro da madrugada nós o bebemos de noite

     2 nós o bebemos ao meio-dia e de manhã nós o bebemos de noite

     3 nós bebemos bebemos

     4 cavamos um túmulo nos ares lá não se jaz apertado

     5 Um homem mora na casa bole com cobras escreve

     6 escreve para a Alemanha quando escurece teu cabelo de ouro
                              Margarete

     7 escreve e se planta diante da casa e as estrelas faiscam ele
                          assobia para os seus mastins

     8 assobia para os seus judeus manda cavar um túmulo na terra

     9 ordena-nos agora toquem para dançar

II   10 Leite negro da madrugada nós te bebemos de noite

     11 nós te bebemos de manhã e ao meio-dia nós te bebemos de noite

     12 nós bebemos bebemos

     13 Um homem mora na casa e bole com cobras escreve

     14 escreve para a Alemanha quando escurece teu cabelo de ouro
                              Margarete

     15 Teu cabelo de cinzas Sulamita cavamos um túmulo nos ares lá
                        não se jaz apertado

III 16 Ele brada cavem mais fundo na terra vocês aí cantem e toquem

     17 agarra a arma na cinta brande-a seus olhos são azuis

     18 cavem mais fundo as pás vocês aí continuem tocando para dançar

IV 19 Leite negro da madrugada nós te bebemos de noite

20 nós te bebemos ao meio-dia e de manhã nós te bebemos de
noite

21 nós bebemos bebemos

22 um homem mora na casa teu cabelo de ouro Margarete

23 teus cabelos de cinzas Sulamita ele bole com cobras

V   24 Ele brada toquem a morte mais doce a morte é um dos mestres
da Alemanha

25 ele brada toquem mais fundo os violinos vocês aí sobem
como fumaça no ar

26 aí vocês têm um túmulo nas nuvens lá não se jaz apertado

VI   27 Leite negro da madrugada nós te bebemos de noite

28 nós te bebemos ao meio-dia a morte é um dos mestres da
Alemanha

29 nós te bebemos de noite e de manhã nós bebemos bebemos

30 a morte é um dos mestres da Alemanha seu olho é azul

31 acerta-te com uma bala de chumbo acerta-te em cheio

32 um homem mora na casa teu cabelo de ouro Margarete

33 ele atiça seus mastins sobre nós ele nos dá um túmulo
nos ares

34 ele bole com cobras e sonha a morte é um dos mestres da
Alemanha

35 teu cabelo de ouro Margarete

36 teu cabelo de cinzas Sulamita.[4]

Já na primeira leitura de "Fuga da Morte" nota-se que a
sua composição foge aos padrões tradicionais. Apesar de não haver
uma divisão em estrofes, distinguem-se nitidamente seis partes de

construção paralela, assim distribuída: partes um e seis, (vv.1-9)
(vv.27-36), dois e quatro, (vv.10-15) (vv.19-23), e três e cinco,
(vv.16-18) (vv.24-26). Nenhuma pontuação prende a fluidez da lin-
guagem que recusa automatismos e clichês, rompendo assim com o uni-
verso verbal pré-construído.

Como está implícito na metáfora que constitui o título do
poema, Celan transfere para o campo da literatura um método de com-
posição ligado ao âmbito da música. A validade de uma análise dos
aspectos formais desse poema, tomando-se por base os métodos de com-
posição da fuga musical, tem sido contestada por alguns críticos
literários com o argumento de que Celan, ao compor o poema, chamou-o
de "Tango da Morte", intitulando-o somente mais tarde de "Fuga da
Morte". Seria mera especulação discorrer sobre o grau de consciência
do poeta no momento de inspiração quanto a estas características
formais. Se relacionamos aqui a estrutura da "Fuga da Morte" com a
da fuga musical[5] é porque consideramos esta apenas uma das leituras
possíveis dentre outras igualmente válidas. Tal colocação também
vai ao encontro do que Paul Celan exige de um poema quando diz:
"o poema deve deixar em aberto as suas possibilidades. Um molde
pré-estabelecido torna o poema opaco, fechando-o".[6]

As três seções básicas da fuga musical, a exposição, o de-
senvolvimento ou episódio e o stretto, bem como seus elementos: su-
jeito, resposta, contrasujeito, coda e partes livres podem ser iden-
tificadas na "Fuga da Morte". À "exposição" correspondem, no poema,
os versos 1 a 4, sendo que logo no início do primeiro, está o que se
chama de "sujeito" da fuga musical: "Leite negro da madrugada". A
relevância deste sujeito é acentuada, por um lado, pela métrica,
pois este é o único troqueu de três pés do poema, por outro, pela
própria sintaxe: com a posposição do sujeito gramatical "nós", o

objeto direto "leite negro da madrugada", topicalizado, ganha em intensidade. Os versos "nós os bebemos de noite/nós o bebemos ao meio-dia e de manhã nós o bebemos de noite/nós bebemos bebemos", são dátilos, e formam, a nível da fuga musical, a resposta dada ao sujeito. A própria alteração da métrica já indica a introdução de um elemento novo no poema. Esta resposta é ampliada pelo verso 4 "cavamos um túmulo nos ares lá não se jaz apertado". Tal procedimento recebe na linguagem musical o nome de "coda". O "contrasujeito" da fuga musical também tem o seu correspondente no poema. Ele é destacado graficamente pelo uso da inicial maiúscula. "Um homem mora na casa" (v. 5). Ao contrasujeito segue, no poema, o que se chama no âmbito da música de "episódio", abrangendo a metade do quinto verso "bole com cobras escreve" até o final do nono "ordena-nos agora toquem para dançar". Desenvolve-se nestes versos o que foi apenas sugerido nos versos 1 a 4.

O entrelaçamento entre as seções da fuga musical que é uma de suas características principais, verifica-se também no poema de Celan. Usando a linguagem da música, diríamos que a coda do sujeito, isto é, a ampliação da exposição "cavamos um túmulo nos ares" (v. 4) reaparece no verso 8 "manda cavar um túmulo na terra". As oposições "ares" X "terra" e "cavamos" X "manda cavar" intensificam o aspecto de construção peculiar à fuga musical, que é de sujeito e contrasujeito, aproximando assim ainda mais a estrutura do poema à composição de uma fuga musical.

As partes II e IV do poema correspondem ao "stretto" da fuga: os temas se interligam e se restringem aos motivos essenciais. Destaca-se em ambas as partes a quíntupla repetição do verbo "nós bebemos", lembrando o canto fúnebre de Jeremias após a destruição de Jerusalém. Em seu canto o profeta se refere aos filhos de

Israel que "bebem" a ira do seu Deus.

As partes III e IV são chamadas "partes livres" da fuga musical, onde se retomam alguns motivos já apresentados, excluindo-se porém o sujeito e o contrasujeito. No poema temos, neste caso, os comandos "cavem", "cantem" e "toquem". Apesar de não se mencionar o contrasujeito "Um homem mora na casa", este está implícito nos comandos, estabelecendo-se assim uma intrínseca relação entre o contrasujeito e as partes livres.

Na parte VI do poema todos os motivos se intercalam como as vozes na parte final da fuga musical. O seu ápice está nos versos 30 e 31 "a morte é um dos mestres da Alemanha seu olho é azul/ acerta-te com uma bala de chumbo acerta-te em cheio". "Azul" e "cheio" em alemão "blau" e "genau" é a única rima do poema.

Os dois últimos versos da "Fuga da Morte" funcionam como o acorde final da fuga musical, e são a imagem viva de dois povos em conflito. Como vimos, a estrutura da "Fuga da Morte" caracteriza-se por uma construção rígida, própria da fuga musical. Esta clareza na composição opõe-se, porém, nitidamente aos turbulentos fatos históricos latentes no poema.

O tratamento do tema a nível da linguagem caracteriza-se também pelas oposições. A análise dos diferentes discursos ressalta este aspecto. A fala do "homem (que) mora na casa", é determinada por verbos de ação: "Ele escreve"(vv. 6 e 7, 13 e 14) "se planta diante da casa" (v. 7), "assobia" (v. 8), "manda cavar" (v.8), "ordena" (v. 9), "brada" (vv. 16, 24 e 25), "agarra" (v. 17), "acerta-te em cheio" (v. 31) e "atiça" (v.33). Predomina o imperativo, o tom de comando "cavem mais fundo" (v. 18), "continuem tocando" (v. 18), "toquem mais fundo" (v. 25). Na fala daqueles que devem executar as ordens prevalece a ação indefinida e indeterminada no tem-

po: "nós o bebemos de noite/nós o bebemos ao meio-dia e de manhã nós o bebemos de noite/nós bebemos bebemos". A repetição do pronome "nós" indica a identificação do poeta com os que sofrem.

Sobressai no poema principalmente a metáfora "Leite negro da madrugada". O leite, símbolo da fertilidade e da pureza se tornou "negro". Vida e morte, fertilidade e infertilidade, pureza e culpa estão aqui associados. A vida à sombra da morte e a morte lembrando a vida, é a conotação que está implícita no substantivo "madrugada".

Há também a oposição na adequação das cores. De um lado o "negro" do leite e o "cinza" do cabelo de Sulamita. Do outro o "cabelo de ouro" de Margarete e o olho "azul" do "mestre da Alemanha". O cinza e o negro simbolizando a morte, contra o dourado e o azul que indicam vida.

Quanto ao caráter. do "homem (que) mora na casa", ele também é contraditório. Ao mesmo tempo que escreve cartas para a Margarete, por outro lado "bole com cobras". A cobra, que desde o Velho Testamento simboliza o mal, tem duplo significado aqui. Em alemão a palavra designa além do animal, uma fila. Este homem então, "bole" ou em tradução literal "brinca" com outros homens, brinca com o matar.

Os dois versos finais do poema "teu cabelo de ouro Margarete/teu cabelo de cinzas Sulamita", são, apesar da construção paralela, opostos. O nome Margarete e a referência ao cabelo louro são apenas clichês para caracterizar a mulher alemã enquanto que Sulamita, além de ser um nome típico de mulher judia, é o símbolo do amor.

Sobressai do poema o forte vínculo do poeta com o seu tempo, mas procuramos mostrar que Celan intenta o realismo histórico,

apenas como meio de transposição figurada para planos puramente
mentalizados, na esperança de alcançar o seu espaço de vida, sem
excluir a consciência plena de todos os acontecimentos vivenciados.

A indiferença e a frieza — comportamentos bem comuns nos
nossos dias — também torturam Paul Celan. Ele acentua o caráter
dialogístico de sua poesia chamando-a de "garrafa-correio"
(Flaschenpost)[7] lançada ao mar na esperança de encontrar um alguém
receptivo. Incessantemente o poeta invoca, sobretudo na fase ini-
cial de sua produção literária, o "tu" ou o "nós" identificando-se
com eles, mas, ao mesmo tempo, é obrigado a reconhecer que está
só. A problemática da solidão, típica do homem moderno, já é anun-
ciada no primeiro verso do poema:

> "Estou só, ponho a cinzaflor
>
> no vaso pleno de negror maduro. Manaboca,
>
> dizes uma palavra que transvive ante as janelas,
>
> e silente circunsobe em mim o que sonhei.
>
> Estou no auge das horas fanadas
>
> e poupo uma resina para um pássaro tardio:
>
> ele leva o floco-neve sobre rubrivivas penas;
>
> gelo-grão no bico, transcende o verão".[8]

Além da solidão, evidencia-se nesse poema o pesar diante da inevi-
tável fugacidade do tempo. Este motivo é tão importante para Celan
que mereceu o título de uma das suas coletâneas *Papoula e Memória*.
Apesar de serem conceitos opostos, existe uma interação entre eles:
em sua tentativa de superar o realismo histórico, o poeta concebe,
graças à sua força criadora, o poema que passa a representar a me-
mória do esquecimento.

O fato de a coletânea de poemas subseqüente à *Papoula e Memória* ter como título um verso desta — *De Limiar em Limiar* (1955) — revela a intenção do poeta em ressaltar o entrelaçamento e a seqüência existentes em sua produção lírica. Passo a passo, o poeta trilha os caminhos enigmáticos da linguagem, duvidando cada vez mais da sua força comunicativa. O poema "Com outra chave" é, dentro desta abordagem, um dos mais representativos:

> Com outra chave
> abres a casa, lá dentro
> o turbilhão da neve do silêncio.
> Conforme brota o sangue
> ou do teu olho, ou da tua boca ou ouvido
> é outra a tua chave.
> Outra chave, outra palavra
> que pode entrar no turbilhão dos flocos.
> Conforme te impele o vento
> junta-se a neve em torno da palavra.[9]

Estamos diante de um poema onde a tônica é a metalinguagem, o falar sobre a linguagem. Celan ressente-se de que a palavra se torna cada vez mais rígida e sem força de expressão. Integrado neste contexto está o motivo da "pedra", uma constante na coletânea *De Limiar em Limiar*. Com versos como "besta trotante frente à palavra caída no encaixe"[10], ou ainda "pedra onde olhas pedra",[11] o poeta expressa a sua inquietação tanto quanto à petrificação das palavras quanto ao enrijecido relacionamento humano.

No volume *Grade de Linguagem* (1953) há ainda um confronto mais consciente com as formas de expressão. O que interessa ao poeta agora não é o significado mas sim o significante, o que aliás é

sugerido no título da obra.Assim o poeta diz:"Água: que/palavra".[12]
Da mesma forma quando constrói versos como: "grama/grama,/escrito
separadamente"[13], o poeta procura transmitir a percepção do mundo
visível através da descrição linguística.

Versos cada vez mais curtos, metáforas sempre mais herméti-
cas e o desaparecimento dos verbos, são indícios irrefutáveis de
que a lírica de Celan tende acentuadamente ao silêncio. Na sua obra
A Rosa Ninguém (1963) o excessivo emprego de partículas de negação
testemunham o desespero do poeta frente à linguagem. As palavras
são freqüentemente substituídas por sílabas e os poemas interrom-
pidos na metade de uma frase ou no meio de uma palavra. No poema
"Tübingen, janeiro"   o poeta sintetiza a ineficácia da expressão
linguística para configurar a vida dos nossos dias, da seguinte
maneira:

          Tübingen, Janeiro
     "(...)
     viesse,
     viesse um homem ao mundo, hoje, com a barba de luz dos
     patriarcas: ele só podia,
     falasse ele deste
     tempo, ele
     só podia
     balbuciar e balbuciar,
     sempre, sempre
     sempre.
     ("Pallaksch. Pallaksch")"[14]

Intermitente, porém, há na obra de Celan momentos de espe-
rança, de ainda poder expressar o indizível

"Lábio interdito, diga/

que algo ocorre, ainda,

não longe de ti"[15]

diz o poema "Resíduo a cantar" em *Giro de Fôlego* (1967). Mas apesar do título dessa coletânea anunciar uma mudança de inspiração, pois para Celan "fôlego" é símbolo de inspiração, o poder de expressão fica restrito ao que o poeta chama de "turbulhão de metáforas".[16]

Os poucos poemas e versos aqui citados são apenas uma pequena amostra da obra de Paul Celan. Apesar disso, esperamos ter conseguido mostrar como o poeta lida com a linguagem para conferir-lhe novos sentidos e comunicar o seu mundo interior e a sua visão do ser humano. Neste sentido, a poesia de Celan é uma "confissão pública"[17] como ele próprio o admitiu em seu já mencionado discurso por ocasião da entrega do prêmio Georg Büchner.

O paradoxo do "falar-silêncio", tentando caracterizar com este neologismo a linguagem poética de Celan, revela-se como um modo de ser do poema moderno, como uma possibilidade da lírica contemporânea.

O poema, como diz Celan, "não é atemporal. Certamente aspira a perpetuidade, mas ele procura passar pelo tempo, passar por ele — e não por cima dele"[18], e é neste sentido que seus poemas representam a conquista da realidade.

NOTAS

OBS.: Não havendo referência a um tradutor, as traduções que se se-
guirem no presente trabalho são de minha responsabilidade.

[1] JENS,Walter. "Nüchternheit und Präzision im Hymnos". In: *Über*
Paul Celan, org. Dietlind Meinecke. Suhrkamp Verlag, Frankfurt/M.,
1971, p. 47.

[2] CELAN,Paul. "Ansprache anlässlich der Entgegennahme des Literatur-
preises der Freien Hansestadt Bremen". In: *Paul Celan. Ausgewählte*
Gedichte. Zwei Reden. Nachwort von Beda Allemann, Suhrkamp Verlag,
Frankfurt/ M., 1968, pp. 127-28.

[3]_____. "Der Meridian. Rede anlässlich der Verleihung des
Georg-Büchner-Preises". In: *Paul Celan. Ausgewählte Gedichte. Zwei*
Reden. Nachwort von Beda Allemann, p. 142.

[4] Tradução de Modesto Campos. In: *Quatro Mil Anos de Poesia*, São
Paulo, Ed. Perspectiva, 1969 .

[5] Wolfgang Menzel em seu artigo "Celans Gedicht Todesfuge" (Fuga da
Morte, poema de Celan"), in *Germanisch-Romanische Monatsschrift*,
Neue Folge, 18/1968, pp. 431-47, apresenta uma análise desta compo-
sição baseando-a na fuga musical. Sua abordagem é ponto de referên-
cia para as minhas colocações.

[6] Anotação de Gregor Laschen quando entrevistou Celan, em 1965. In: *Über Paul Celan*, p. 28.

[7] CELAN, Paul. "Ansprache anlässlich der Entgegennahme des Literaturpreises der Freien Hansestadt Bremen," p. 128.

[8] Tradução de Flávio R. Kothe. In: *Poemas*, Rio de Janeiro, Ed. Tempo Brasileiro, 1977, p. 24.

[9] Tradução de Eliana A. de Mendonça Mendes e minha.

[10] Tradução de Flávio R. Kothe. In: *Poemas*, p. 32.

[11] Tradução de Flávio R. Kothe. In: *Poemas* , p. 32.

[12] CELAN, Paul. *Gedichte I*, Suhrkamp Verlag, Frankfurt/M., 1975, p. 188.

[13] ──────── . *op. cit.* p. 204.
[14] ──────── . *op. cit.* p. 226.

[15] Tradução de Flávio R. Kothe. In: *Poemas*, p. 66.

[16] CELAN, Paul. *Gedichte II*, Suhrkamp Verlag, Frankfurt/M., 1975, p. 89.

[17] ────────. "Der Meridian. Rede anlässlich der Verleihung des Georg-Büchner-Preises," p. 141.

[18] CELAN, Paul. "Ansprache anlässlich der Entgegennahme des Literaturpreises der Freien Hansestadt Bremen," p. 128.

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