Christine Bareño Etges

A JANUS-FACED MANIPULATION: AN INVESTIGATION OF NARRATIVES CONSTRUCTED ON THE AMAZON IN THE TARGET AND SOURCE CONTEXTS

Florianópolis, 2000

Universidade Federal de Santa Catarina
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por

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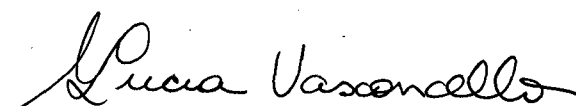
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ABSTRACT

A JANUS-FACED MANIPULATION: AN INVESTIGATION OF NARRATIVES CONSTRUCTED ON THE AMAZON IN THE TARGET AND SOURCE CONTEXTS

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UNIVERSIDADE FEDERAL DE SANTA CATARINA
2000

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Advisor

Narratives of (foreign) travel are of special interest to translation in the sense that their authors have often already 'translated' the reality of the country they visited, both literally, since their writings involve some translation, and figuratively, in that they must incorporate foreign material in a language and a literature not necessarily fitted to accommodate it. The translator is faced with the daunting task of, as it were, translating the translated. When the translator happens to be a native of the country visited the matter becomes more complex, in the sense that he is returning to his national context a perspective constructed through alien eyes. This study looks at one of those travel narratives entitled 'The world is burning - murder in the rain forest' (Alex Shoumatoff, 1990), and its translation to Brazilian Portuguese 'O mundo em chamas - a devastação da Amazônia e a tragédia de Chico Mendes'. The methodology adopted consists of a descriptive investigation to identify the shifts in relation to the source text, following the model adopted by Kitty van Leuven-Zwart (1989, 1990). The units of translation are analyzed looking at shifts that occur in areas such as: choice of individual lexical items, transitivity, modality, thematic structure (word order), and discourse markers. The analysis then moves on to describe how, by operating shifts in narrative devices, the Brazilian Portuguese translation rewrites the relationships between narrator / reader and the image of the Amazon portrayed.

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RESUMO

A JANUS-FACED MANIPULATION: AN INVESTIGATION OF NARRATIVES CONSTRUCTED ON THE AMAZON IN THE TARGET AND SOURCE CONTEXTS

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Narrativas de viagem são especialmente interessantes em tradução uma vez que seus autores já 'traduziram' a realidade do país que visitaram, tanto literalmente quanto figurativamente. O tradutor tem, então, a desafiadora tarefa de *traduzir o traduzido*. Quando acontece de o tradutor ser um nativo do país visitado, a tarefa torna-se ainda mais complexa, pois ele está retornando a seu contexto nacional uma perspectiva construída a partir de olhos estrangeiros. Este trabalho investiga uma dessas narrativas de viagem entitulada *'The world is burning - murder in the rain forest'* (Alex Shoumatoff, 1990) e sua tradução 'O mundo em chamas - a devastação da Amazônia e a tragédia de Chico Mendes'. A metodologia adotada consiste em uma investigação descritiva do texto traduzido a fim de identificar os *shifts* (mudanças) em relação ao texto original, seguindo o modelo adotado por Kitty van Leuven-Zwart (1989,1990). As unidades de tradução são analisadas olhando-se os *shifts* que ocorrem em áreas como: escolha de itens lexicais individuais, transitividade, modalidade e estrutura temática (ordem de palavras). A análise move-se, então, para descrever como, através de 'shifts' na narrativa, a tradução brasileira reescreve a relação entre narrador / leitor e a imagem construída da Amazônia.

Número de páginas: 83
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ABBREVIATIONS AND NOTATIONS

ST Source Text

TT Target Text

SL Source Language

TL Target Language

ATR Architranseme

STT Source Text Transeme

TTT Target Text Transeme

ADstt Aspect of Disjunction in the Source Text Transeme

ADttt Aspect of Disjunction in the Target Text Transeme

DTS Descriptive Translation Studies

CE Caveat Emptor

E Epilogue

The first occurrence of a concept or notion is written in Italics. The subsequent occurrences are written in the regular form.

INTRODUCTION

(...) travel began as the imaginative construction
of other people and places
... as fictive representation of otherness.

Ashcroft, Griffiths & Tiffin, 1998

1. Initial remarks

Narratives of (foreign) travel are of special interest to translation in the sense that their authors have often already 'translated' the reality of the country they visited, both literally, since their writings involve some translation, and figuratively, in that they must incorporate foreign material in a language not necessarily fitted to accommodate it. The translator is faced with the daunting task of, as it were, *translating the translated*. When the translator happens to be a native of the country visited the matter becomes even more complex, in the sense that he is returning to his natural context a perspective constructed through alien eyes.

Such a translator is Luiz Fernando Martins Esteves, who translated Alex Shoumatoff's *The world is burning - murder in the rain forest* into the Brazilian context under the title *O Mundo em Chamas - A devastação da Amazônia e a tragédia de Chico Mendes.*

The ST was written in 1990, and is presented by the author as 'a book of opinion' (p. XV). Such statement refers to the fact that his research work, of which the ST is the final result, was not based in official data concerning Chico Mendes's story, not even in a popular or definitive version. In fact, Shoumatoff mainly works with the personal impressions of the people who have had some kind of relation or involvement with Chico Mendes. Therefore, his research was based upon opinions collected in interviews, necessarily filtered through his selection of what is to be included and what is to be excluded.

In the introduction (p. XV), which he names *Caveat Emptor,* Shoumatoff says "I collected as many versions of a given incident from interviews and other sources as I could, and in the end I often had to make a judgment call in deciding which version seemed closest to what happened". I would like to call attention to his use of the word *seemed.* He is not saying he chose the version that *was* closest to what happened, but the one that *seemed* closest, which is a clear indication of the inevitable interpretative nature of his account. He also says "Distortion through translation was not a factor, since in the fourteen years I've been writing about Brazil I've become *reasonably* fluent in the language"(p. XV) [italics added]. Some questions arise from these words: Does knowing a language automatically entail understanding the context of the culture? Does translation always produce 'distortion' in the pejorative sense attributed to it by Shoumatoff?

The complexities of travel narrative are then made more complicated when translation of such materials is involved, particularly when performed by a native translator. As Polezzi (1998, p. 322) says:

> The translation of a travel account operates a double transfer, shifting the audience and cultural references of an original which, in turn, had already been constructed as a kind of translation: an attempt to communicate the traveller's/writer's experience of the other to an often untravelled home reader.

It is the complexities involved in this kind of translation that the present research addresses, focusing on the consequences of different procedures adopted in translated texts upon the discursive relationship occurring between narrator and reader.

2. Context of investigation

There is a popular saying in Brazil: 'quem conta um conto aumenta um ponto', which means that when someone tells a story, he/she adds something to it. The idea underlying this saying is that there is no way of being impartial and just tell a story. The teller will add his/her own view of the fact to it, even when he/she omits parts of the story. Hasan (1996, p. 191) says that "different ways of saying are different ways of meaning", and that "a culture develops characteristic ways of meaning". Thus, members of a specific culture have characteristic ways of saying, being and behaving. This implies that the American author has a characteristic view of the fact, an American view, and that the Brazilian translator has a Brazilian view.

The book *The world is burning - murder in the rain forest* (Alex Shoumatoff, 1990), written by an American author (particularly to the American audience), is about an event that took place in Brazil, more specifically in the Amazônia (as the author refers to the Amazon throughout the book) - the murder of Chico Mendes.

Considering that, the peculiarity of the author's and translator's interpretations - loaded, not only with their personal perspectives, but also with the influence of their own cultures - is a rich source of possible shifts.

The way the ST author would portray not just the event in itself, but also the context in which it took place was that which first called my attention to the book. I realized then, that even being Brazilian I did not know much about the case or about the reality of the Amazônia. As the book had a translated version in Portuguese done by a Brazilian author, my curiosity duplicated. After reading just the title of both

books I knew I had material for a case study before me. The original text is called *The world is burning - murder in the rain forest*', and the translated text is *O Mundo em Chamas – a devastação da Amazônia e a tragédia de Chico Mendes.* Many questions arose just from the titles, both in the ST and in the TT, so I decided to investigate the shifts[1] occurring in the translated text, which, I suspect, are indicative of a different handling of source material.

3. Research questions

The main purpose of the research I carry out in this master thesis is to examine the shifts both in micro- and macro-structural levels in a translated text as indications of the translator's interpretation of the original text, and the strategy applied during the process of translation.

The research is aimed at answering the following questions:

- Do micro-structural shifts on the TT reach a certain frequency in consistency?

- What are the consequences of micro-structural shifts on the macro-structure?

- Along which lines might the interpretation of these consequences be established?

- How can these affect the 'feel' of the TT as compared to the ST?

- How does the translation cope with the ideological tensions involved in the manipulation of 'reality' as depicted in the ST?

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[1]The concept of 'shift' underlying this study is explained in Chapter 1 of this thesis.

4. Significance of the research

Amazônia is regarded as "the temple of biodiversity of the planet" (Boff, 1999, p. 136) and a great part of its forest is located in Brazil. For this reason, the interest of foreign countries towards what happens to it becomes understandable. The American author of the ST belongs to a hegemonic culture, and the tendency in translation when a

> hegemonic culture translates works produced by the dominated culture, those works will be perceived and presented as difficult, mysterious, inscrutable, esoteric, and in need of a small cadre of intellectuals to interpret them, while a dominated culture will translate a hegemonic culture's works accessibly for the masses (Robinson, 1997, p. 235).

What happens in my research is that the author of the ST is not translating a 'work' produced by the dominated culture, he is *translating an event* that took place in a 'third-world' country to the hegemonic culture. The consequences of this fact are far-reaching: the original text is not our voice; it is the voice of a foreigner telling our story to the members of his culture-group. Thus, the translated text (our voice) tells our story through the manipulation of reality as perceived by the eyes of a foreigner.

Research along similar lines was carried by Loredana Polezzi, University of Warwick, UK, who has published an article entitled *Rewriting Tibet*[2]. Polezzi analyzes a series of books on Tibet written between the 1930s and the 1950s by Italian explorers, who were translated into English. Her focus is on the way the Italian texts present the authors, and their respective relationship with national, international and imperial discourses of the period. Then she describes how shifts in

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[2] Paper published in *The Translator*. Volum 4, Number 2 (1998), 321-342.

the English translations modified the relationships between narrator, reader and object of the narration.

This thesis hopes to show that the confrontation of the two experiences can shed light on a number of translational issues including the notion of translation as representation, the editorial function of the translator and the macro-structural shifts resulting from a configuration of patterned micro-structural shifts.

5. Corpus and analytical procedures

The corpus of my thesis is, as previously mentioned, a book entitled *The world is burning - murder in the rain forest*[3], written by an American author - Alex Shoumatoff - in 1990, published by Little, Brown and Company; and its translated version *O mundo em chamas - a devastação da Amazônia e a tragédia de Chico Mendes* by a Brazilian translator - Luiz Fernando Martins Esteves, published by Editora Best Seller.

For this analysis, the introductory chapter – 'Caveat Emptor' - and the concluding one – 'Epilogue' - were selected. The reason for such a choice is that it is in Caveat Emptor that the author reveals his ideas and point of view defining the characteristics of his way of working, and it is in the Epilogue that is possible to perceive the general arrangement of the facts proposed to be observed by the author. These sections will be referred to as the Source Text (ST), from now on.

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[3] The reader is invited to look at the list of all the sections of the source text and their translation in the target text in Appendix 1.

Although I am aware of the contribution of computational tools in the analysis of both source and target texts, I did not make use of them in this study – Word Smith Tools being the case in point – for a number of reasons, including space and time constraints. The sections selected, however, proved to suffice for the purposes of the present investigation.

An analysis of the translation shifts that occur between *The World is Burning* and the Brazilian translation *O Mundo em Chamas* is carried out. The starting premise is that the accumulation of shifts at a micro level, be they the result of conscious or unconscious decision on the part of the translator, must inevitably color the final translated text. These micro shifts are analyzed in close detail through an examination of their occurrence in areas such as: choice of individual lexical items, transitivity, and modality. The result helps to explain differences in the texture of the translation as compared to the ST and thus, gives a pointer to what has gone on during the translation process itself.

The research looks at the target-text to identify the shifts in relation to the source-text. To identify these shifts the model adopted by Kitty van Leuven-Zwart (1989,1990) is followed, concentrating on the accumulation of these shifts in terms of frequency and consistency over the sections selected for analysis.

The methodology adopted in this project consists of descriptive techniques. Reasoning that "sentences are generally too long and words too short to be easily compared" (1989, p. 155), van Leuven-Zwart suggests the "transeme" as the unit of comparison between ST and TT, which is to be carried out following the steps below:

1. Division of both ST and TT into phrase-length units – "transemes", and establishment of the boundaries of each transeme;

2. Establishment of the theoretical common denominator - ATR (content words shared by ST and TT transemes) - to be used as the basis for comparing ST and TT;

3. Separate comparison of each transeme with the ATR;

4. Comparison of ST and TT transemes with a view to establishing the relationship between them;

5. Identification of microstructural shifts, in terms of the categories proposed by van Leuven-Zwart – 'modulation', 'modification', and 'mutation';

6. Analysis of trends emerging from *frequent* and *consistent* shifts, from a comparison of a significant number of transemes;

7. Derivation of translational 'policies' from the patterns in shift, so as to gain insights into the ways ST and TT differ;

8. Observation of the ways in which they impact on the macrostructural level;

9. Finally, attempts at possible interpretations from the findings, so as to answer the last research question proposed: How does the translation cope with the ideological tensions involved in the manipulation of 'reality' as depicted in the ST?

6. Organization of the thesis

Following this introductory section, Chapter 1 offers a description of the theoretical framework underlying this study. It begins with the definition of shifts, and presents van Leuven-Zwart's model divided into "comparative" and "descriptive". Then, Chapter 2 puts the comparative model at work, making the analysis of transemes. After that, Chapter 3 shows the descriptive model at work analyzing the macrostructural level. Finally, a conclusion section answers the main research questions of this thesis, discusses the limitations of the study and points to uninvestigated issues to be examined in further research.

CHAPTER 1

THEORETICAL FRAMEWORK

All translation implies a degree of manipulation
of the source text for a certain purpose.

Hermans, 1995

1.1   The concept of shift

Before the 70s, the conventional approach to literary translation was the "assumption that translations are not only second-hand, but also generally second-rate, and hence not worth too much serious attention" (Hermans, 1985, p. 8). The translated text, then, was limited to being just a step to the original work. "Literature", according to this view, "should be read in the original and not through some substitute" (p. 8). The study of translation in a context where the "supremacy of the original" is evident would only serve to highlight the errors and inadequacies of any number of translations of it (p. 8).

About the mid-1970s, an international group of scholars started attempting to break this view of translation. They wanted to establish a new paradigm for the study of literary translation. They were called the 'Manipulation Group', a group formed by individuals with varying interests, but in agreement on some basic assumptions: a view of literature as a complex and dynamic system, a conviction that there should be a continual interplay between theoretical models and practical case studies, a descriptive approach to literary translation, target-oriented, functional and systemic (p. 10). Also of their interest are the norms and constraints that govern the production and reception of translations, as well as the place and role of translations both within a given literature and in the interaction between literatures (p. 10, 11).

Historically, the concept of *shift* has been dealt with by a number of theorists. In the literature of translation shifts refer to changes that occur or may occur in the process of translating. Shuttleworth and Cowie, in the *Dictionary of Translation*

Studies (1997, p. 152), shifts - or Shifts of Expression - are introduced as being originally defined by Catford as "departures from formal correspondence in the process of going from the SL to the TL" (1965, p. 73). In Catford's model, the shifts described are purely linguistic, being grammatical or lexical in nature, and unavoidable unless the translator wishes to reproduce the ST structure extremely closely. Translation critics have frequently failed to understand the differences, and dismissed them as "errors".

Another translation scholar, Popovic (1970), recognizes the fact that such apparent "mistakes" form a feature of almost any TT. He broadens the concept of shifts, defining them more generally as "all that appears as new with respect to the original, or fails to appear where it might have been expected" (1970, p. 79). For Popovic, shifts represent "the relationship between the wording of the original work and that of the translation" (1970, p. 85). Differently from Catford's view, Popovic's includes not only linguistic phenomena, but also replacements arising from textual, literary or cultural considerations. In Popovic's view, "the translator strives to reproduce (the work) as faithfully as possible and to grasp it in its totality, as an organic whole" (1970, p. 80). This struggle is responsible for the existence of linguistic differences – the shifts. Popovic recognizes the fact that the translator works within the constraints of *norms*, which will influence the decisions made during the process of translation.

The basic tenet of the Manipulation Group is that "all translation implies a degree of manipulation of the source text for a certain purpose" (Hermans, 1985, p. 11). Snell-Hornby (1988, p. 22) says that the starting point of the Manipulation

Group is "not intended equivalence but admitted manipulation". This manipulation can be seen in terms of translation shifts.

A member of the 'Manipulation Group', van Leuven-Zwart, in two articles published in the periodical Target (1989,1990), investigates the nature and distribution of shifts in Dutch translations of Spanish and Spanish-American literature. For van Leuven-Zwart *shifts* are a common trait in translation, and from this assumption she works out a detailed and complex model for the description of *shifts*, which she develops, as she says, 'in installments' (1990, p. 69). The concept of *shift* put forward by van Leuven-Zwart (1989/1990) is adopted in this study. She explains shifts by simply saying they are the "differences between a translation and its original" (1989, p. 154). This concept is an important tool for the analysis of the *unit of translation*[1] proposed by van Leuven-Zwart – the *transeme* – that will constitute the focus of the first part of the analysis.

Shifts manifest themselves on two levels:

- *micro-structural shifts* – those involving semantic, stylistic and pragmatic values at the level of phrases, clauses and sentences;

- *macro-structural shifts* – those involving the attributes and characterization of persons, as well as the nature and ordering of the action.

According to Vasconcellos (1997, p. 68), van Leuven-Zwart makes the claim that *consistent patterns* of shifts on the micro-structural level of a translation influence the macro-structural level and thus can affect the 'feel' of the TT as

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[1] Unit of Translation (or Translation Unit) according to Barkhudarov, in the *Dictionary of Translation Studies* (1997, p. 192) is defined as "the smallest unit of SL which has an equivalent in TL"

compared to the ST. Van Leuven-Zwart shows this connection by drawing on Halliday's functional framework, the ideational, the interpersonal and the textual functions, via Leech and Short (1981).

Halliday says that 'since language is a semiotic potential, the description of language is a description of choice' (1985b), quoted in Vasconcellos (1997, p. 58). The description of a translation is also a description of choice, in which re-textualization is a realization of options from interrelated networks of meanings, and of which the source text is also part.

It is within the framework of the theoretical perspective of the 'Manipulation Group' - especially the work done by van Leuven-Zwart - that this thesis is carried out. The Hallidayian functional view of language will inform the description of shift in an attempt to show how different ways of saying are different ways of meaning.

1.2   Van Leuven-Zwart's model

Van Leuven-Zwart developed a method for comparing and describing versions of a text (TT and ST). The method is designed with two objectives in mind: (i) to establish valid and verifiable description of how and to what degree a translation differs from the original; (ii) to verify the extent to which patterned *shifts* may provide insights into the translation process as well as into the function the translation is intended to fulfill in the target-language culture.

In the equivalence model, deviations from ST tended to be dismissed as "errors". In Descriptive Translation Studies[2] (DTS), of which van Leuven-Zwart is a member, deviations – treated as shifts - are related to the norms which are being adhered to; van Leuven-Zwart investigated the *nature* and *distribution* of shifts.

An essential concept to van Leuven-Zwart's model is the one of *relation*. Any comparative description involves establishing the relation between elements as well as attributing certain features to those elements. The establishment of the relation between any two elements is made possible by reference to a third element in the comparison – its invariant - which at the microstructural level, constitutes what van Leuven-Zwart (1989, p. 157) calls the *architranseme* (ATR). This term was coined by van Leuven-Zwart to refer to a theoretical concept used in close linguistic comparison of texts and their translations. Venuti, in the book *The Translation Studies Reader* (2000, p. 216), summarizes the notion of the architranseme:

> it is essentially a lexicographical equivalence between source and target languages, "identified with the help of a good descriptive dictionary in each of the two languages involved" (van Leuven-Zwart, 1989, p. 158). Architransemes help to establish a relation between "microstructural" shifts of a semantic, stylistic or pragmatic variety and "macrostructural" shifts in narrative form and discourse.

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[2] Holmes defines DTS as one of the two subdivisions of Pure Translation Studies (1988). According to Holmes, the aim of this area of the discipline of Translation Studies is "to describe the phenomena of translating and translation(s) as they manifest themselves in the world of our experience" (1988, p. 71). For the purposes of Descriptive Translation Studies, a translation is taken to be "any target-language utterance which is presented or regarded as such within the target culture, on whatever grounds" (Toury, 1985, p. 20). Toury has developed the notion of Descriptive Translation Studies to the greatest extent, arguing that "no empirical science can make a claim for completeness, and (relative) autonomy unless a proper *descriptive branch*" (Toury, 1995, p. 1, emphasis original). Toury argues that translations are *"facts of one system only:* the target system" (Toury, 1985, p. 19, emphasis original). Descriptive Translation Studies, then, is for Toury a Target Text-Oriented discipline consisting of "carefully performed studies into well-defined corpuses, or set of problems" (Toury, 1995, p. 1).

The ATR expresses the common denominator(s) in the relation between specific textual units of the source and target texts; these textual units are called *transemes*. Inasmuch as the descriptive model is comparative, it works with an invariant at the macrostructural level as well. Van Leuven-Zwart limits her methodology to the domain of narrative texts, and the invariant is therefore derived from specific narratological concepts such as 'story level' and 'focalization'. The ATR has to be established separately for each pair of transemes, the invariant at the macrostructural level will be established a priori.

At the microstructural level, a relation of complete conjunction between the transemes and architransemes (in which case there is a relation of synonymy between transemes) is assumed as a starting point, and shifts occur when there are aspects of disjunction between transemes and the ATR.

Van Leuven-Zwart's framework is subdivided into two models, the comparative and the descriptive. The comparative model is used to establish and categorize shifts on the microstructural level. The descriptive model focuses on the effects of microstructural shifts on the macrostructural level.

1.2.1 The comparative model

In order to identify in which way the translated text is different from the original, and to establish the magnitude of the differences, TT and ST are first compared on the microstructural level. To this end, van Leuven-Zwart divides the passages in the corpora she analyzes into units that she calls *transemes* – a suitable

basic unit of comparison – and describes as "a comprehensible textual unit" (1989, p. 155). As she explains in her article, transemes occur in two varieties: the *state of affairs transeme,* which consists of a predicate – a lexical verb or a copula – and its arguments, and the *satellite transeme*, which acts as an adverbial specification or amplification of the state of affairs transeme. Considering the two varieties of transemes, a sentence will typically consist of one or more transemes.

Van Leuven-Zwart says the basic principle of the comparative model is the one of *relationship* (1989, p. 156). She uses the concept defined by structural semanticists such as Greimas (1966), Coseriu (1977) and Lyons (1977).

> According to their definition two entities are related when they have both similar and dissimilar aspects, i. e. when there are both aspects of conjunction (similarity) and of disjunction (dissimilarity). In this view the existence of a similarity is considered a precondition for the existence of a dissimilarity; before one can discover the differences one must be aware of the features in common.

The most elementary and important feature of the TT transeme is its relationship to the ST transeme. It is necessary to recognize a similar aspect between the TT transeme and the ST transeme in order to apply the comparative model, since the absence of any similarity means that there is not a target-text transeme, and for this, it cannot be considered a translation of the ST transeme. It is only by the identification of this similarity that differences between the two transemes are then possible to be established.

In van Leuven-Zwart's model the comparison between a ST transeme and a TT transeme involves three steps. The first is the establishment of the similarities, i.e. of the common denominator, to which she calls the *architranseme* or *ATR* (1989, p. 157). The ATR can be semantic or pragmatic, depending on the features or

aspects of conjunction expressed by content words (nouns, verbs, adjectives and adverbs) or by paraphrases. Function words, such as prepositions, conjunctions and pronouns, do not appear in the ATR. Van Leuven-Zwart recognizes the fact that it is not always easy to find a common denominator and to express it in terms of as ATR. The second step is the comparison of each separate transeme with the ATR. In this case, two possibilities come out: either the transeme and the ATR correspond, or they differ (1989, p. 158).

The third and last step consists in the establishment of the relationship between the two transemes. There are four possibilities of relationship:

- *synonymic* – if each transeme show a synonymic relationship with the ATR. There is no shift in the translation;

- *hyponymic* – if one transeme has a synonymic relationship with the ATR and the other a hyponymic relationship. There is a shift in the translation;

- *contrast* – if both transemes have a hyponymic relationship with the ATR. There is a shift in the translation;

- *no relationship* – if no relationship can be established between the transemes, then they possess no aspect of conjunction, and it is impossible to establish an ATR. There is a shift in the translation.

Shifts occur when ST and/or TT transeme and the ATR differ, in such cases there is an aspect of disjunction (dissimilarity) between the transemes.

There are three main categories of microstructural shifts: modulation, modification and mutation.

- *modulation* - where a source or target transeme shows one or more aspects of disjunction with respect to the ATR (a relation of hyponymy between transemes). If the aspect of disjunction occurs in the TT transeme, the shift is called modulation/*specification*; if it manifests in the ST transeme, then the shift is called

modulation/*generalization*. The aspects of disjunction may be semantic or

stylistic, resulting in four distinct categories:

- semantic modulation/specification;
- semantic modulation/generalization;
- stylistic modulation/specification;
- stylistic modulation/generalization.

• *modification* - where a source and target transeme have an aspect of disjunction,

on the basis of which each has a hyponymic relationship with the ATR (a relation

of contrast between transemes). The aspects of disjunction may be semantic,

stylistic or syntactic, resulting in three categories of modification:

- semantic modification;
- stylistic modification;
- syntactic modification.

• *mutation* - where there are no aspects of conjunction, and therefore no ATR can

be established (no relation between transemes).

In order to clarify all the categories and sub-categories that constitute the

model, **Table 1** below has been reproduced from van Leuven-Zwart's work (1989, p.

170). It displays categories and sub-categories of shifts, which have all received a

code number to help recognition.

CATEGORY	SUB-CATEGORY
00 SEMANTIC MODULATION generalization specification	01-f/c/m [3] 02-aspectual element 03-subjective element 04-concrete element 05-intensive element
10 STYLISTIC MODULATION generalization specification	11-register element 12-professional element 13-temporal element 14-text-specific element 15-culture-bound element 16-syntagmatic element 17-paradigmatic element
20 SEMANTIC MODIFICATION	21-f/c/m 22-aspectual element 23-subjective element 24-concrete element 25-intensive element
30 STYLISTIC MODIFICATION	31-register element 32-professional element 33-temporal element 34-text-specific element 35-culture-bound element 36-syntagmatic element 37-paradigmatic element
40 SYNTACTIC-SEMANTIC MODIFICATION	41-tense 42-person 43-number 44-gram. class/function 45-function word
50 SYNTACTIC-STYLISTIC MODIFICATION	51-explicitation 52-implicitation
60 SYNTACTIC-PRAGMATIC MODIFICATION	61-speech act 62-deixis/anaphora 63-thematic meaning
70 MUTATION	71-deletion 72-addition 73-radical change of meaning

**Table 1.1 The Comparative Model: categories and sub-categories
of shifts (van Leuven-Zwart, 1989, p. 170)**

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[3] f/c/m stands for *form/class/mode.*

The comparative model aims to provide the classification of shifts within sentences, clauses and phrases, i.e. on the microstructural level. However, only those frequent and consistent shifts that may contain substantial indications of interpretation or strategy merit attention in the model (van Leuven-Zwart 1989, p. 157). The analysis of transemes allows us to see if a pattern of shifts emerge, since "microstructural shifts must reach a certain frequency and consistency to result in a macrostructural shift" (van Leuven-Zwart 1990, p. 70). If a pattern emerges, the microshifts will provoke macroshifts in the whole configuration of the reality portrayed. My aim in the analysis of the texts proposed as the corpus of this thesis is to see what categories of shifts emerge from the comparison of ST and TT, to verify their consequences in the narrative, and to find out how the translation copes with the ideological tensions involved in the manipulation of 'reality' as depicted in the ST.

1.2.2 The descriptive model

To apply van Leuven-Zwart's model in its entirety, it is necessary, after having applied the comparative model, to move towards the descriptive model, which is regarded as complementary to the comparative model. The detection of shifts on the microstructural level takes place in the comparative model, whereas the description of their consequences at the macrostructural level happens in the descriptive model (1989, p. 171).

The macrostructure of fictional texts," says van Leuven-Zwart (1989, p. 171), " is made up of units of meaning which transcend phrases, clauses and

sentences". These units of meaning refer, following van Leuven-Zwart's explanation, "to the attributes of the characters, the relationship between them, the particulars of events, actions, place and time, the narrator's attitude towards the fictional world, the point of view from which the narrator looks at this world, and so on" (1989, p. 171). In the present study, the narrator's attitude will be analyzed not in relation to the 'fictional' world, as this is not a piece of fiction; in the present case, the narrator's attitude will be looked at in relation to the reality (the Brazilian context) portrayed, necessarily filtered by his representational structure.

The elements that compose the macrostructure are microstructural, since a text is constituted of words, phrases, clauses and sentences that are connected by the reader who understands them as larger units. It is important to point out that the macrostructure depends, considerably, on the features of the elements forming the microstructure. Shifts in the elements of the microstructure may have as a consequence a macrostructural shift (van Leuven-Zwart 1989, p. 171).

As a condition for the occurrence of a macrostructural shift, the microstructural shifts found in the text must show a certain *frequency* and *consistency*.

The theoretical basis of van Leuven-Zwart's descriptive model is taken from Leech and Short (1981) and Bal (1980). She modified some of the theoretical notions found in their works and adapted them to apply to translations of narrative texts, which proved possible to establish systematic relationships between micro- and macrostructural shifts in translation.

The basic principles of the descriptive model are: the concept of *function* (as used by Leech and Short, 1981) and the concept of *levels* (as developed by Bal, 1980).

As van Leuven-Zwart adapted the theoretical basis of her model, so does this study with van Leuven-Zwart's. The concept of function used here is taken directly from Halliday (1994). The reason being is that the work of Michael Halliday forms the central core in the multiplicity of views within systemic linguistics. Those systemicists whose views diverge to some extent from Halliday's have reached their positions largely by reacting to the rich seam of innovative ideas, which he has mined over the past three decades. Also, significantly, it is his work to which most newcomers to, and consumers of, systemic linguistics are inevitably exposed[4].

Although this is not the place to spell out the basic tenets of Systemic Linguistics, some brief remarks are necessary, for the sake of contextualizing the discussion.

Systemic linguistics is based on the category of system. Whenever at a given place in structure the language allows for a choice among a small set of possibilities, there is a system. Systems realize the *functions of language* (Halliday, 1976).

In the introduction of his book *An Introduction to Functional Grammar*, Halliday (1994) explains its title by saying "it is functional in the sense that it is designed to account for how the language is **used**" (p. XIII).

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[4] Taken from the work of Christopher S. Butler, 'Systemic models: unity, diversity and change', 1989, Word. Volume 40, Numbers 1-2.

Following this, the fundamental components of meaning in language are functional components. Halliday calls metafunctions the main functions of language. The definitions, which follow, describe the metafunctions and say what they do.

- Ideational – uses language to encode our experience of the world and to convey a picture of reality; that is, to understand the environment. In fact, ideational meanings are split into experiential meanings encoding experiences, and logical meanings connecting those experiences;

- Interpersonal – uses language to encode interaction, to act on the others in the environment;

- Textual – uses language to organize our experiential, logical and interpersonal meanings into a coherent, and in the case of written and spoken language, linear, whole.

It is central to any study of language that the words people use and the way they organize them carry meanings. In the systemic functional approach, each sentence encodes not just one but three meanings simultaneously, and these meanings are related to the three different and very basic functions of language.

The concept of level adopted in this study is the same adopted by van Leuven-Zwart, based on Bal (1980). Bal distinguishes three text levels (taken from van Leuven-Zwart, 1989, p. 172):

- History level – constitutes the 'deepest' or most abstract level and is comparable to the Russian Formalists' concept of 'fabula'. It consists of abstract elements such as events, actors, place and time;

- Story level – is comparable to the Formalists' notion of 'sujet', and should be considered the concretization of the abstract history-level elements: on the story level, abstract events become concrete actions and events which occur in a certain order, in fictional time and at a certain fictional place. An important notion with respect to the story level is the concept of *focalization*, which should be understood as the point of view from which the fictional world is presented;

- Discourse level – is defined as the linguistic expression of the fictional world as it is created on the story level. An important notion in relation to the discourse level is the concept of the *narrator*, the medium through which the communication between the reader and the fictional world is established. For the analysis of narrative prose, the narrator is the most central notion: the narrator's identity, and the degree to which and way in which this identity is developed are decisive for the specific attributes of a narrative text.

As van Leuven-Zwart has shown, the structure of the descriptive model is composed of an interactive relation of functions and levels. "This means that a distinction is made between the ideational, the textual and the interpersonal functions as they operate on the different text levels" (1989, p. 173). The model, however, does not make use of the history level, due to the fact that when one of the functions starts to operate on the abstract elements which constitute this level, these elements become concrete.

This way, the macrostructure of narrative texts in the descriptive model comprises six distinct parts, that is, the three functions operating on the story and the discourse levels.

The description of the functions as they operate on these levels in this particular study is given in Chapter 3 as the descriptive model is applied.

The next chapter describes the application of the comparative model to the corpus under examination.

CHAPTER 2

THE COMPARATIVE MODEL AT WORK

When language comes to be written down,
people become aware of it; start to speculate about it (. . .)

Halliday, 1989

2.1   Initial remarks[1]

"The test of a theory (. . .), in relation to any particular purpose is: does it go? Does it facilitate the task in hand?" (Halliday, 1994, p. XXX). Halliday says these words in relation to the application of functional grammar. The same questions can be put in relation to the application of van Leuven-Zwart's model: Does it go? Does it facilitate the task of investigating the way the translation of *The world is burning* copes with the 'ideological tensions involved in the manipulation of 'reality' as depicted in the ST? To address such issues and to put van Leuven-Zwart's model to work, this chapter and Chapter 3 explore the methodological possibilities of the categories proposed by her. This chapter carries out the close linguistic comparison proposed by the "comparative model" and Chapter 3 explores the effects of the shifts found to exist in the TT at the macrostructural level.

For the sake of convention, this study will follow the notation suggested by van Leuven-Zwart (1989, p. 156): "the boundaries of a state of affairs transeme are indicated by means of /. . . / and those of a satellite transeme by (. . .)". In addition, Italics are used to indicate the shift under discussion. In order to highlight the three main categories of shifts occurring in the corpus under analysis, different colors are used in the tables - purple for *modulation*, yellow for *modification*, and blue for *mutation*.

The shifts identified in the analysis of 'Caveat Emptor' (ST and TT) and 'Epilogue' (ST and TT) are presented below in accordance with van Leuven-

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[1] The reader is invited to read the complete source texts and translated texts in appendixes 2 and 3.

Zwart's model. The categories and sub-categories under which the transemes are classified are indicated according to the code number they have received in the diagram (see Table 1.1). Not all the categories of the model will be used in this analysis: to account for the transemes emerging from this investigation, just some of them are drawn upon.

As the comparative model is based on close linguistic comparison, Halliday (1994) is used for the analysis of STTs (Source Text Transemes), and Cegalla (1978) is used for the analysis of TTTs (Target Text Transemes).

2.2 Analysis of transemes in 'Caveat Emptor' (ST and TT)

As van Leuven-Zwart states (1989, p. 158), "it is not always easy to find a common denominator [between ST and TT transemes] and to *express* it in terms of an ATR" [italics mine]. This is true of this particular corpus in the sense that, upon investigation, the types of relationship found were many times those of hyponymy, contrast, and of the 'no relationship' kind, which made the establishment of the ATR difficult.

To facilitate this task, van Leuven-Zwart's suggested "form/class/mode formula" (1989, p. 158-159) is used: "X is a form/class/mode of Y, in which X stands for the transeme and Y for the ATR."

As explained by van Leuven-Zwart (1989, p. 179) "one transeme element may show several shifts on the different linguistic levels". This is the case with several instances in this study as pointed out below.

The two initial steps performed in the analysis (finding the common denominator and expressing it in terms of an ATR) allowed for the comparison of

ST and TT transemes, which led to the identification of shifts presented below. The analysis does not follow the order of occurrence of transemes in both ST and TT. For methodological reasons, the shifts are presented already grouped under the category into which they fit.

Modulation

Modulation occurs when there is a hyponymic relationship between the transemes - one transeme displays an aspect of disjunction with respect to the ATR and the other manifests conjunction. It is called *modulation/specification,* if the aspect of disjunction occurs in the TT transeme, which is the case of the following pairs of transemes:

01 Semantic Modulation/Specification, f/c/m
STT /no one will ever *know* (exactly) what happened/
TTT /ninguém se *recorda* (exatamente) do que aconteceu/
ATR: to have knowledge of + exactly + happening
ADstt: 0
ADttt: f/c/m of 'to know': to remember

Table 2.1 Shift of the hyponymic kind: f/c/m

Upon comparison, a shift is found to exist in the verb form (category 01), as well as in the verb tense (category 41) – analyzed below. In the analysis of category 01, the shift in the form of the verb changes the information. The STT *know* takes us to the act of having the knowledge of something, whereas the TTT *recorda* leads us to the act of remembering something, which refers to 'bringing back to one's mind' previous information or past events. The implication of this shift in the understanding of both clauses is that the STT postulates the existence

of *doubt* as to a 'fact' no one is to know precisely, while the TTT postulates the existence of a *known* fact that people do not *remember* well.

05 Semantic Modulation/Specification, intensive element
STT /*It*'s different/ (down there.)
TTT (No Brasil,) /*tudo* é diferente./
ATR: to be + different + place
ADstt: 0
ADttt: f/c/m of subject: everything

Table 2.2 Shift of the hyponymic kind: intensive element

In this specific shift, a semantic aspect of disjunction manifests itself in the TTT, whereas the STT lacks such an aspect. Here, the disjunction can be seen in the addition of 'tudo' that will impact the image of the 'reality' portrayed, to be discussed in Chapter 3. The STT *It* is accounted for by the fact that the English language does not allow for a verb in initial position, while in TTT the word *tudo* is a pronoun meaning 'everything', which contains extra information modifying the sense of the clause. The former *It* has no relevance in the meaning of the clause, it is an "empty or 'prop' subject" (Downing and Locke, 1992, p. 37), serving grammatical representation. Nonetheless, the latter *tudo* indicates that all possible happenings are different. In the instance *It's different* there is, in Halliday's expression (1994, p. 355) "a metaphorical representation" in the sense that the narrator, though clearly expressing his opinion, dissimulates the fact, presenting the proposition of differences as a fact, when it really means 'I believe'. When the aspect of disjunction with respect to the ATR occurs in the ST transeme, then it is called modulation/generalization. The following pair of transemes is one case.

03 Semantic Modulation/Generalization, subjective element
STT (In some cases) /I *had to* rely on my journalistic instincts./   **TTT** (Em alguns casos,) /*apoiei-me* no instinto jornalístico./
ATR: to rely on + journalistic instinct   ADstt: f/c/m of 'to rely': + modal auxiliary   ADttt: 0

Table 2.3 Shift of the hyponymic kind: subjective element

The disjunction here manifests itself in the STT, which includes the modal *had to*. This instance of modality is described by Halliday as modulation (see Halliday, 1994, p. 91). Simpson (1993, p. 47-48), building upon Halliday's model and using the terminology of philosophical semantics, describes instances such as this (had to) as a case of "deontic modality", the term being derived from the Greek *deon* ('that which is obligatory') (Webster's Seventh New Collegiate Dictionary, 1969). This element adds to the ST the "speaker's attitude to the degree of obligation attaching to the performance of certain action" (Simpson, 1993, p. 47-48).

Modification

Modification occurs when the kind of relationship between the two transemes is one of contrast, i.e. when both transemes maintain a hyponymic relationship with respect to the ATR, displaying an aspect of disjunction.

Different sorts of modification occur in the shifts identified. Again, these are numbered in accordance with Table 1.1 and discussed below.

40 Syntactic-Semantic Modification

In this category, the syntactic differences between the two transemes and ATR refer to grammatical features (tense, person and number), grammatical classes (e.g. a verb is rendered by a noun), and grammatical functions (e.g. an attributive adjunct in the STT is an adverbial adjunct in the TTT). Shifts regarding function words (addition, deletion or change of meaning) also belong to the category of syntactic-semantic modification.

41 Syntactic-Semantic Modification / Tense
STT /no one *will* ever *know* (exactly) what happened/
TTT /ninguém se *recorda* (exatamente) do que aconteceu/
ATR: to have knowledge of + exactly + happening
ADstt: syntactic form of 'to have knowledge of': future tense
ADttt: syntactic form of 'to have knowledge of': present tense

Table 2.4 Shift of the contrast kind: tense

This instance is a case in which different shifts are found in the same transeme, as explained in the case of Table 2.1 above.

In the TTT *recorda,* the past event has already happened and is referred to as the possibility of bringing it back to mind in the present. The STT *will* ever *know* expresses an action that is/is not to be known in the future. Whereas the TTT assumes knowledge potentially 'recollectable', the STT includes the lexical item *ever,* the reference being to a period of time starting in the present and perpetuating in a continuous way, not limited to one specific temporal dimension.

42 Syntactic- Semantic Modification / Person
STT /depending on whom/ /*one* talked to,/
TTT /dependendo da pessoa com quem/ /*eu* falava,/
ATR: person + to talk to
ADstt: syntactic form 'person': one
ADttt: syntactic form 'person': eu

Table 2.5 Shift of the contrast kind: person

In this case, the STT *one* is impersonal, whereas in the TTT *eu*, the agency is marked. The syntactic/semantic implication of this shift is linked to the concept of AGENCY (see Halliday, 1994, p. 164-168-172), and the consequent responsibility connected to it. In the Brazilian translation, the impersonal form is rendered with the 'personal' first person singular.

In TTT, the agent is individualized as an 'eu', which has the immediate consequence of making this individual responsible for the talking. In STT, the event is encoded as non-agentive, that is, generalizable and not subsumed under the perception of one single person.

44 Syntactic-semantic Modification / gram. class
STT /*he* was either Christ or the Anti-Christ/
TTT /viam-*no* como Cristo ou o Anticristo/
ATR: man + to be + comparison
ADstt: syntactic form 'man': subject
ADttt: syntactic form 'man': object

Table 2.6 Shift of the contrast kind: gram. class

Analyzing the clause through Halliday's (1994) systemic functional grammar, in the STT *he was either Christ or the Anti-Christ,* a relational

identifying process is found to exist, where *he* is the Identified (see Halliday, 1994, p. 122). In the TTT, *viam-no*, a mental process is found to exist, where 'he' is the Phenomenon (Halliday, 1994, p. 117), that is, the entity "which is 'sensed' – felt, thought or seen" and agency is unclear, the perceiving entity is impersonal.

50 Syntactic-Stylistic Modification

In the case of syntactic-stylistic modification, the syntactic differences concern the quantity of elements that convey information. When there are more elements in the TTT than in the STT, the shift is classified as syntactic-stylistic modification/explicitation[2]. When the opposite occurs, then the shift is named syntactic-stylistic modification/implicitation. The shifts presented below have been identified as syntactic-stylistic modification/explicitation. The 'extra' elements in the TTT do not convey new information; they have the same informative value as the ATR, as it is possible to see in Table 2.7 below:

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[2] In explicitation, "the translator simply expands the TL text, building into it a semantic redundancy absent in the original" (Blum-Kulka, 1986, p. 21). In van Leuven-Zwart's (1989, 1990) study of Dutch translations of Spanish prose fiction between 1960 and 1985, "the method reveals a tendency towards specification and explanation – precisely the finding that Blum-Kulka hypothesizes as a universal of translation" (Venuti, 2000, p. 216). The same situation is found in *Caveat Emptor*, in which explicitation also proves to be the preferred strategy.

51 Syntactic-Stylistic Modification / Explicitation
STT /*Most of my sources* . . . were polarized/ **TTT** /*A maior parte das fontes que utilizei* . . estava polarizada/
ATR: most sources + to be polarized
ADstt: syntactic form 'sources': possessive pronoun + sources
ADttt: syntactic form 'sources': sources + to use

Table 2.7 Shift of the contrast kind: explicitation not conveying new information

In this case, the explicitation can be seen in TTT *que utilizei*. In fact, this segment functions as post-modification of the head of the nominal group *fontes* and refers to an action performed by an entity in the first person singular. As for STT, the indication of the first-person singular entity is realized by the pre-modifying element, the possessive *my*. As can be seen, the extra elements do not convey new information.

The situation is reversed in the following case:

51 Syntactic-Stylistic Modification / Explicitation
STT /depending on . . . that person's class and *kinship loyalties*/ **TTT** /*dependendo* . . . da sua classe social, *vínculos familiares e de fidelidade*/
ATR: to depend on + person + class + family relationship
ADstt: syntactic form 'family relationship': loyalty
ADttt: syntactic form 'family relationship' + connection of loyalty

Table 2.8 Shift of the contrast kind: explicitation conveying new information

This specific case of explicitation supplies extra syntactic-stylistic information, in the following sense: the STT *kinship loyalties* refer to loyalties in

the relationship between members of the same family, whereas in the TTT *vínculos familiares e de fidelidade* expands the meaning of the ATR via a coordinate segment, since *vínculos familiares* alone would be enough. The 'extra' element *e de fidelidade* is referring to any kind of *vínculo* (connection) *de fidelidade*. It might be a political connection of loyalty, an economic connection of loyalty, and even a love connection of loyalty, in which the family is not included. In this specific case, preference is given to the first interpretation in face of the political implication of Chico Mendes in all this report on the Amazon scene.

51 Syntactic-Stylistic Modification / Explicitation
(a) **STT**　(*As with everything* in history) **TTT**　/*Como sempre acontece*/ (numa narrativa baseada em fatos reais) ATR: comparison: written account of past events ADstt: syntactic form 'comparison': satellite transeme ADttt: syntactic form 'comparison': state of affairs transeme

| (b)
STT　(As with everything *in history*)

TTT　/Como sempre acontece/ (*numa narrativa baseada em fatos reais*)

ATR: comparison: written account of past events
ADstt: syntactic form 'comparison': history
ADttt: syntactic form 'comparison': narrativa baseada em fatos reais |

Table 2.9 Shift of the contrast kind: explicitation - a case of two shifts in the same pair of transeme

The shift of Table 2.9 (a) is a specific case in which the disjunction occurred in the very nature of the transeme: what in the STT was a satellite

transeme (lacking a predicate) becomes, in TTT, a state of affairs transeme, in which the predicate *acontece* makes the 'historical happening' explicit.

The shifts of Tables 2.9 (b) and 2.10 provide evidence for the argument that the extra elements add new and crucial information. The TTT conveys extra elements containing information not included in the STT, as can be seen when the two renderings are matched. The STT *in history* conveys the same information as the TTT *baseada em fatos reais.* However, the TTT *numa narrativa* implies the existence of an active subject narrating these specific facts in history, whereas the STT *in history* just implies the knowledge of the register of the facts.

51 Syntactic-Stylistic Modification / Explicitation
STT /It's different/ (*down there.*)
TTT (*No Brasil,*) /tudo é diferente./
ATR: to be + different + place
ADstt: syntactic form 'place': vague (retrieved in text)
ADttt: syntactic form 'place': specific

Table 2.10 Shift of the contrast kind: explicitation with downtoning of political implication

In this case, the STT *down there* suggests that things are different in a part of the world 'under' the place in which the author is located. The TTT *No Brasil* does not express the author's ideological stand, but it is a more specific political geographical location, situating the facts in a particular country.

63 Syntactic-Pragmatic Modification/thematic meaning
STT /It's different[1]/ (down there.[2])
TTT (No Brasil,[2]) /tudo é diferente.[1]/
ATR: to be + different + place
ADstt: syntactic form transemes: 1 + 2
ADttt: syntactic form of transemes: 2 + 1

Table 2.11 Shift of the contrast kind: thematic meaning

"In syntactic-pragmatic modification, the structure of the TTT differs from that of the STT in such a way that a shift occur in the thematic meaning" (van Leuven-Zwart, 1989, p. 167). The shift is, then, in the textual function: change in the *Theme*. Following Halliday's functional grammar, "the Theme is the element which serves as the point of departure of the message; it is that with which the clause is concerned" (1994, p. 37). The identification of Theme in the clause is easy, for it comes in first position, organizing the clause as a message. The aspect of disjunction has a *syntagmatic* nature: in the chain, a different selection is made in the two transemes.

So far, the instances of shifts in the introductory chapter – Caveat Emptor - both in ST and TT have been examined. From now on, the same procedure will be adopted in the analysis of the shifts occurring in the Epilogue.

2.3   Analysis of transemes in 'Epilogue' (ST and TT)

As with the analysis in 2.2, in this sub-section, the shifts are grouped under categories into which they fall and not as they occur in the ST and TT. This

procedure is followed with a view to facilitating the perception of emerging patterns of shifts, as verified below.

05 Semantic Modulation/Generalization, f/c/m
(a) **STT** /the protagonists are young environmental *activists*/ **TTT** /entre os protagonistas, estão jovens com *consciência* ambiental/ ATR: protagonists + young people + environmental + awareness ADstt: f/c/m of 'awareness': activists ADttt: 0

(b)
STT /the protagonists are young environmental activists/ /battling the
      poachers of the caimans/
TTT /entre os protagonistas, estão jovens com consciência ambiental/
      /lutando contra *caçadores* de jacaré/
ATR: to stand against + hunters + alligators
ADstt: f/c/m of 'hunter': poacher (without permission)
ADttt: 0

Table 2.12 Shift of the hyponymic kind: generalization/f/c/m

Upon analysis, the aspect of disjunction in Table 2.12 (a), is found to manifest itself in: *activists,* a complex term incorporating the idea of awareness and of an act of agreement to this awareness; and *consciência,* just encapsulating the idea of awareness, without action. In Table 2.12 (b), *poachers* is also a complex term, since it implies not just the sense of hunting, but also of an illegal practice of it, whereas this is not true of *caçadores.*

The next table presents the same kind of sub-category of shift (f/c/m), but in a different category.

21 Semantic Modification, f/c/m

(a)
STT /Collor . . . is told in *no uncertain* terms/
TTT /Collor . . . recebeu a mesma resposta *incerta*/

ATR: proper name + to get an answer + relative certainty
ADstt: *f*/c/m of 'relative certainty': absolute certainty
ADttt: *f*/c/m of 'relative certainty': uncertainty

(b)
STT /how can you believe *anybody*?/
TTT /até que ponto se pode acreditar em *alguma coisa*?/

ATR: in what way + to believe + some entity
ADstt: f/c/m of 'some entity': some + person
ADttt: f/c/m of 'some entity': some + thing

(c)
STT /Collor's choice for special secretary of the environment is equally *shocking*/
TTT /A escolha feita por Collor para a Secretaria Especial do Meio Ambiente foi igualmente *uma surpresa*/

ATR: proper name + to be + unexpected
ADstt: f/c/m of 'unexpected': shocking
ADttt: f/c/m of 'unexpected: uma surpresa

Table 2.13 Shift of the contrast kind: f/c/m

From a close linguistic comparison, a disjunction is found to exist in that, although STT and TTT present the lexical item related to *certainty* preceded by the negative prefix (un- and in-), the STT presents the negative adverb *no*. This shift has far-reaching consequences at the level of the facts portrayed.

In the shift of Table 2.13 (a), the STT *no uncertain* conveys the idea of absolute certainty, without any space for calling the certainty into question. The TTT *incerta*, on the other hand, imposes the contrasting idea of not absolute certainty giving room for questioning the degree of certainty implied. In Table 2.13 (b), the STT *anybody* is suggestive of a piece of information originated by the action of an agent, that is, it implies the existence of a subject providing

information. The TTT *alguma coisa* just involves the information itself, without the existence of an explicit subject giving such information.

The STT of Table 2.13 (c) *shocking* (subject complement), indicates an idea of an unexpected, very offensive, wrong or upsetting happening (Longman Dictionary, 1992, p. 1218), as impacting on the observer. The TTT *uma surpresa*, also impacting on the observer, but to a much lesser degree, indicates a particular and unexpected happening, without concerning whether right or wrong, good or bad.

25 Semantic Modification/intensive element
STT /and has *breathtaking* footage of the great swamp's wildlife/   **TTT** /e mostra a *beleza* da vida selvagem da região/   ATR: to picture + sensuous dimension + wildlife + place   ADstt: realization of 'sensuous dimension': effect in the observer   ADttt: realization of 'sensuous dimension': quality in object observed

Table 2.14 Shift of the contrast kind: intensive element

In the case of Table 2.14 (b), the STT *breathtaking* refers to a perception of pleasure given by some of the five senses (sight, hearing, feeling, tasting and smelling), which gives a person or animal information about the outside world (Longman Dictionary, 1992, p. 1198). The TTT *beleza*, also refers to a perception of pleasure from information about the outside world; however, it does not provide the same intensity as the one given by the ST writer. The fact that *breathtaking* is a compound word and *beleza* a noun, emphasizes the difference in intensity, as shown in Table 2.17 (b).

Table 2.15 displays occurrences of shifts in which disjunction is manifested in terms of use-related language variation, that is, register.

31 Stylistic Modification/register element

(a)
STT (In the latest episode of the ongoing novela that is Brazil groping for its *niche* in the modern world,)
TTT (No mais recente episódio da busca do Brasil por um *lugar* no Primeiro mundo,)

ATR: episode + country + to try to find + position
ADstt: stylistic form 'position': formal, loan word = niche
ADttt: stylistic form 'position': vernacular lexical item = lugar

(b)
STT /Collor, (on his *grand tour* of the superpowers) is told in no uncertain terms by everyone/ /he meets/
TTT /Collor, (em suas *visitas* às superpotências) recebeu a mesma resposta incerta de todos com quem/ /encontrou/

ATR: proper name + visit + superpowers
ADstt: stylistic form 'visit': derogatory/humorous = grand tour
ADttt: stylistic form 'visit': usual language = visita

(c)
STT /Which brings us back to the *caveat*/
TTT /O que nos remete à *advertência*/

ATR: to bring back + warning
ADstt: stylistic form of 'warning': formal/loan word = caveat
ADttt: stylistic form of 'warning': vernacular lexical item = warning (advertência)

(d)
STT /and *has* breathtaking *footage of* the great swamp's wildlife/
TTT /e *mostra* a beleza da vida selvagem da região/

ATR: to picture + sensuous dimension + wildlife + place
ADstt: stylistic form of 'to picture': film-area specific
ADttt: stylistic form of 'to picture': informal register

(e)
STT /battling the poachers of the *caimans*/
TTT /lutando contra caçadores de *jacaré*/

ATR: to stand against + hunters + crocodile
ADstt: stylistic form of 'crocodile': scientific language
ADttt: stylistic form of 'crocodile': usual language

Table 2.15 Shift of the contrast kind: register element

The aspect of disjunction in the cases of the Table 2.15 above is a register element, that is, the element provides information on the context in which the specific language variety is used.

In the case of the shift of Table 2.15 (a), the STT *niche* allows for a range of considerations, first of all, it is a loan from French. Secondly, this expression is used with the specific economic meaning of the possibility of obtaining profit in the commercial market of any sector of economy, a specialized and profitable position in a market (see Oxford Dictionary of Foreign Words and Phrases, 1997, p. 282). The TTT *lugar*, typically conveys the concept of place, but in this specific case it is being used in a more complex way, that is, it is referring to the possibility of obtaining a good position among the industrialized countries. In the case (b), the STT *grand tour,* another loan, denotes a humorous and sarcastic treatment of the diplomatic missions of the President of Brazil at the time, as a trip taken by upper class people and to the traveler's own interest, and not for the benefit of the nation. The use of the loan has the effect of making the trip seem grandiose, which confirms the derogatory aspect of the narrative. The TTT *visitas* also treats the diplomatic missions as not being for the benefit of the nation, but almost as devotional acts to flatter the conductors of the economy of the world.

Following the analysis of Table 2.15, in (c), the STT *caveat* is another loan, this time from Latin meaning 'a precaution, a warning'; its use adds a taste of formality to the text. The same is not true of the TTT, as *advertência* is an ordinary word carrying the same information, but without the sophistication of the Latin word.

The shifts of the next category (syntactic-semantic modification) are due to disjunction manifested in the verb tenses used. In all of them the historical

present is used, that is, the present tense narrates past events. Typically, because of temporal distance between the narrative act and the narrated happenings, and by force of the very nature of narratives, the tense used in narratives is the simple past tense – allowing for the localization of the act of narrating in a time dimension posterior to that of the events narrated.

41 Syntactic-Semantic Modification/Tense

(a)
STT /Collor *promises* to do something/
TTT /Collor *prometeu* tomar providências/

ATR: to promise + to do + something
ADstt: syntactic form of 'to promise': present tense
ADttt: syntactic form of 'to promise': past tense

(b)
STT /and *invites* the "Green Prince" to a trip/ (to the Amazon with him in early November)
TTT /e *convidou* o "Príncipe Verde" para viajar/ (com ele pela Amazônia/

ATR: to invite + person + trip
ADstt: syntactic form of 'to invite': present tense
ADttt: syntactic form of 'to invite': past tense

(c)
STT /and he immediately *enacts* a series of sweeping changes/ (on the economic and ecological fronts)
TTT /e imediatament *promulgou* uma série de mudanças/ (no campo econômico, que também alcançaram a ecologia)

ATR: person + immediately + to enact + changes
ADstt: syntactic form of 'to enact': present tense
ADttt: syntactic form of 'to enact': past tense

(d)
STT /Collor . . . is told in no uncertain terms by everyone/ /he *meets*/
TTT /Collor . . . recebeu a mesma resposta incerta de todos com quem/
/*encontrou*/

ATR: to meet
ADstt: syntactic form of 'to meet': present tense
ADttt: syntactic form of 'to meet': past tense

(e)
STT /Collor *is sworn in* on March 15/
TTT /Collor *tomou posse* em 15 de março de 1990/

ATR: proper name + to be inaugurated + date
ADstt: syntactic form of 'to be inaugurated': present tense
ADttt: syntactic form of 'to be inaugurated': past tense

(f)
STT /Collor . . . *is told* in no uncertain terms by everyone/ /he *meets*/
TTT /Collor . . . *recebeu* a mesma resposta incerta de todos com quem/
/*encontrou*/

ATR: proper name + to get an answer + relative certainty + people
ADstt: syntactic form of 'to get an answer': present tense
ADttt: syntactic form of 'to get an answer': past tense

Table 2.16 Shift of the contrast kind: tense

In all these cases, the relationship between the state of affairs expressed in the transeme and the time of utterance is different in the STT and TTT. In all instances, the TTTs opt for the choice of the simple past, thus marking the action, or event as having taken place before the time of the utterance, in a historical dimension ('prometeu', 'convidou', 'promulgou', 'recebeu', 'encontrou', 'tomou posse'). The STTs, on the other hand, opt for a form which is simultaneous with the time of utterance, taking place in the fictional present ('promises', 'invites', 'enacts', 'is told', 'meets', 'is sworn'). The impact of such verb tense shifts on the *image* of the reality portrayed is dramatic, not because of the cumulative effect, but also because of the crucial changes it provokes.

44 Syntactic-Semantic Modification/gram.class

(a)
STT   (In the latest episode of the ongoing novela that is Brazil *groping for* its niche in the modern world,)
TTT   (No mais recente episódio *da busca* do Brasil por um lugar no Primeiro mundo,)

ATR: episode + country + to try to find + position
ADstt: syntactic-semantic form of 'to try to find': non-finite clause = groping for
ADttt: syntactic-semantic form of 'to try to find': nominalization = busca

(b)
STT   /and has *breathtaking* footage of the great swamp's wildlife/
TTT   /e mostra a *beleza* da vida selvagem da região/

ATR: to picture + sensuous dimension + wildlife + place
ADstt: syntactic-semantic form of 'sensuous dimension': adjective = breathtaking
ADttt: syntactic-semantic form of 'sensuous dimension': noun = beleza

Table 2.17 Shift of the contrast kind: gram. class

The effect of the disjunction in *groping for*, Table 2.17 (a), in the STT is that *groping for* is a qualifying element, post-modifying the head 'Brazil', the elliptical element being 'which is'. The predicate realized as post modifying element in the STT *Brazil groping for its niche* is realized as a nominalized form in the TTT *busca do Brasil*. As pointed out by Halliday (1994, p. 352), by nominalizing, "processes (congruently worded as verbs) and properties (congruently worded as adjectives) are reworded metaphorically as nouns".

The specific instance of 2.17 (b) also falls into this nominalizing category described by Halliday, this time an adjective – property (*breathtaking*) being textualized as a noun (*busca*).

52 Syntactic-Stylistic Modification/Implicitation

(a)
STT (*In the latest episode of the ongoing novela* that is Brazil groping for its niche in the modern world,)

TTT (*No mais recente episódio* da busca do Brasil por um lugar no Primeiro mundo,)

ATR: episode + country + to try to find + position
ADstt: syntactic form 'episode': nominal group with two post-modifiers
ADttt: syntactic form 'episode': nominal group with one post-modifier

(b)
STT /and has breathtaking footage of the *great swamp's* wildlife/
TTT /e mostra a beleza da vida selvagem *da região*/

ATR: to picture + sensuous dimension + wildlife + place
ADstt: syntactic form 'place': specific term
ADttt: syntactic form 'place': general term

Table 2.18 Shift of the contrast kind: implicitation

Table 2.18 presents a case of syntactic-stylistic modification/implicitation: the STT contains more elements, in terms of quantity than the TTT. The 'extra' elements in the STT of Table 2.18 (a) convey new information, in the sense that they convey the same propositional meaning. However, this implicitation present in the STT has a subtle implication, to be discussed in Chapter 3. As for 2.18 (b), the implicitation is manifested in the higher amount of information, in the sense that it explains to the reader of the ST what kind of region 'Pantanal' is.

62 Syntactic-Pragmatic Modification/deictic/anaphoric element

STT /*He* is far more impressed with Lutz's proposal for Amazônia/
TTT /*O presidente* está mais impressionado com a proposta de Lutz/

ATR: man + to be impressed + proposal
ADstt: syntactic form 'man': personal pronoun
ADttt: syntactic form 'man': deitic element

Table 2.19 Shift of the contrast kind: deixis/anaphora

In Table 2.19 there is a case of a deictic, which is a term for a word or phrase directly relating an utterance to a person. The STT *He* has the referential function of pointing back to an anaphoric element, easily retrievable from the text. The TTT *O presidente* is a syntactic-pragmatic instance, in the sense that there is an interpretation of the utterance in the provision of the referent.

The next category displayed in Table 2.20 shows occurrences in there is which no aspect of conjunction and, because of that, no basis for comparison can be found. Nine instances are cases of deletion, in which the elements of the STT "have no visible counterpart" (Hermans, 1999, p. 60) in the Brazilian translation, and, thus, no ATR can be established for the unit.

71 Mutation/Deletion
(a) **STT** (to the Amazon with him *in early November)* **TTT** (com ele pela Amazônia) ATR: 0 ST: in early November TT: 0

(b)
STT /and he immediately enacts a series of *sweeping* changes/ (on the
    Economic and ecological fronts)
TTT /e imediatament promulgou uma série de mudanças/ (no campo
    Econômico, que também alcançaram a ecologia)
 	
ATR: 0
ST: sweeping
TT: 0

(c) **STT** /*The currency goes back to cruzeiros./* **TTT** / / ATR: 0 ST: The currency goes back to cruzeiros. TT: 0

(d)

STT /The arts, which depend on government subsidies (corporate tax incentives like the ones destroying the Amazon), are paralyzed. The newly renovated opera house in Manaus, which had booked Placido Domingo, cancels its season. Multinationals like Ford, General Motors, Johnson and Johnson, Citicorp, and Quaker Oats post alarming losses, and the highly specialized and tricky secondary Brazilian debt market slums as zero inflation produces a recession. Restaurateurs overcharging for their beers are hauled off to prison for "crimes against the people's economy," and – on the positive side – thousands of prospectors leave Roraima because the agents have no cash to buy their gold dust./

TTT / /

ATR: 0
ST: The arts . . . no cash to buy their gold dust.
TT: 0

(e)
STT /None other than Romeo Tuma,/ *(the burly arm of the Brazilian law,)* . . .
TTT /Ninguém menos do que Romeu Tuma,/ . . .

ATR[2]: 0
ST: the burly arm of the Brazilian law
TT: 0

(f)
STT */One hopes it will be more successful than Operation Sweep./*
TTT / /

ATR: 0
ST: One hopes it will be more successful than Operation Sweep.
TT: 0

(g)
STT /"It's amazing how ecology has become prime-time in Brazil when just a few years ago nobody had even heard the word," Julio Cesar writes. "Maybe it's the Indian in us reasserting itself."/
TTT / /

ATR: 0
ST: "It's amazing how ecology has become prime-time in Brazil when just a
few years ago nobody had even heard the word," Julio Cesar writes.
"Maybe it's the Indian in us reasserting itself."
TT: 0

(h)
STT /he freezes for eighteen months all bank accounts with balances of more
than $1,200 – a total of more than $100 billion – and declares the new
cruzado extinct./
TTT / /

ATR: 0
ST: he freezes for eighteen months all bank accounts with balances of more
than $1,200 – a total of more than $100 billion – and declares the new
cruzado extinct.
TT: 0

(i)
STT /These *radical* stabilization measures . . . /
TTT / /

ATR: 0
ST: radical
TT: 0

(j)
STT /Meanwhile, a new telenovela, Pantanal,/ /*has replaced Kananga do
Japão.*/

TTT /Enquanto isso, uma nova novela, Pantanal,/

ATR: 0
ST: has replaced Kananga do Japão
TT: 0

Table 2.20 Shift of the 'no relation' kind: deletion

Although the instances displayed in Table 2.20 all have the common

denominator *deletion*, the *qualities* of their disappearing from the TT differs. The

implications of each of these cases of deletion will be dealt with in Chapter 3.

Table 2.21 offers a case of mutation in which a minimum common

denominator can be established, although a radical change of meaning accurs.

73 Mutation/Radical change of meaning
STT / . . . *clean up your act in the Amazon* /   TTT / . . . *precisa resolver o problema da Amazônia*/   ATR: place   ST: to clean up + action   TT: modal auxiliary + to solve + problem

Table 2.21 Shift of the 'no relation' kind: radical change of meaning

As can be seen, the imperative *clean up* hardly bears any resemblance with the modulated *precisa resolver*, which collocates with the lexical item *problem*, unrealized in the STT.

To conclude this chapter on the comparative model for translation description, a summary is given of the results of the analysis carried out with the sections 'Caveat Emptor' and 'Epilogue', obtained when the method was applied. Such summary is presented in diagrammatic form, in Tables 2.22 and 2.23 below.

This table displays the density of shifts in quantitative terms. This is an important step as "computing various kinds of shifts tells us something about the particular colouring of a translation" (Hermans, 1999, p. 61).

Tables of Microstructural Shifts

MODULATION		MODIFICATION			MUTATION
Semantic Modulation		Syntactic-Semantic Modification			
Generalization	Specification	tense	person	gram. class	
subjective element	f/c/m	1	1	1	
	1				
1	intensive element				-
	1	Syntactic-Stylistic Modification			
		explicitation			
		5			
		Syntactic-Pragmatic Modification			
		thematic meaning			
-		1			

Table 2.22 – Microstructural Shifts – Caveat Emptor

MODULATION	MODIFICATION		MUTATION
Semantic Modulation Generalization	Semantic Modification		deletion
	f/c/m	intensive element	10
f/c/m	3	1	radical change of meaning
2	Syntactic-Semantic Modification		1
	tense	grammatical class	
	6	2	
	Syntactic-Stylistic Modification		
	implicitation		
	2		
	Syntactic-Pragmatic Modification		
	deixis/anaphora		
	1		
	Stylistic Modification		
	register element		
	5		

Table 2.23 – Microstructural Shifts - Epilogue

Caveat Emptor

Modulation

Semantic Modulation
      Generalization: subjective element = 1
      Specification: f/c/m = 1
                    Intensive element = 1

Modification

Syntactic-Semantic Modification
      Tense = 1
      Person = 1
      Gram.class = 1
Syntactic-Stylistic Modification
      Explicitation = 5
Syntactic-Pragmatic Modification
      Thematic meaning = 1

Epilogue

Modulation

Semantic Modulation
      Generalization : f/c/m = 2

Modification

Semantic Modification
      F/c/m = 3
      Intensive element = 1
Stylistic Modification
      Register element = 5
Syntactic-Semantic Modification
      Tense = 6
      Gram. class = 2
Syntactic-Stylistic Modification
      Implicitation = 2
Syntactic-Pragmatic Modification
      Deixis/anaphora = 1

Mutation

Deletion = 10
Radical change of meaning = 1

However important this quantitative dimension is "the macrostructural impact of a shift depends on its *quality* rather than on frequency" (Hermans, 1999, p.61). Van Leuven-Zwart herself allows for the centrality of what she calls "incidental shifts", which impact upon the macrostructural level of the text. Incidental shifts are further discussed in the next chapter.

To complement the comparative model, Chapter 3 puts van Leuven-Zwart's *descriptive* model to work, describing the effects of the shifts emerging from the close linguistic comparison. The premise underlying this procedure is that

> both micro- and macrostructural shifts in translation can furnish indications of the translational norms adopted by the translator, his interpretation of the original text and the strategy applied during the process of translation. (van Leuven-Zwart, 1990, p. 69)

Obviously, as this thesis is examining only two chapters of the book *The world is burning* and its translation *O mundo em chamas*, generalizations as to translational norms and the strategies adopted by the translator throughout the process are not possible. However, it is believed that the results obtained from the analysis of the sections investigated will suffice to provide a sample of the preferred strategies and their implications for the macrostructural level of the narrative.

CHAPTER 3

THE DESCRIPTIVE MODEL AT WORK

The traveller enters the territory of the other in search of an
exotic experience, which is typically stereotyped,
packaged and reduced to an easily consumed product.

Ashcroft, Griffiths & Tiffin, 1998

3.1   Initial remarks

Chapter 3 focuses on the effects of microstructural shifts on the macrostructural level. An account is given of the results, obtained when the comparative model was applied. The main objective of this chapter is, then, to "give an impression of the potential consequences of microstructural shifts on the macrostructure, and to indicate the lines along which the interpretation of these consequences might be established" (van Leuven-Zwart, 1990, p. 70).

The section below gives an account of the picture emerging from Tables 2.22 and 2.23, as an entry point to the analysis of the impact of those shifts upon the narratives.

3.2   Discussion of the picture emerging from Tables 2.22 and 2.23

Concerning the three main categories of shifts, modulation, modification, and mutation, a descriptive analysis will be carried out, firstly pointing out the aspects of disjunction occurring in 'Caveat Emptor'; following this, the aspects of disjunction of 'Epilogue' will be dealt with.

3.2.1   Caveat Emptor (Table 2.22)

Analyzing the occurrences of shifts in the categories under concern, modification is the category that presents the highest number of shifts, with the total number of nine occurrences. Five of them emerging in Syntactic-Stylistic

Modification/*explicitation*; three in Syntactic-Semantic Modification, equally distributed among the sub-categories of *tense*, *person* and *grammatical class*; and finally one disjunction in Syntactic-Pragmatic/*thematic meaning*.

The modulation category appears in the analysis three times, being all of them of the Semantic-Modulation type. Semantic Modulation/specification occurs two times, one in the sub-category of *f/c/m* and another in the sub-category of *intensive element*. Semantic Modulation/generalization occurs once in the sub-category of *subjective element*.

The mutation category is not found in this analysis of the introductory chapter – 'Caveat Emptor'. This is not true of the descriptive analysis of the 'Epilogue', since mutation is a category with a frequent number of occurrences.

3.2.2 Epilogue

The category with the highest number of shifts is modification with the total number of twenty occurrences. Among these, five of them occur in the Stylistic Modification category, in the sub-category of *register element*. Four shifts appear in the Semantic Modification category, three in the sub-category of *f/c/m*, and one in *intensive element*. Syntactic-Semantic Modification presents eight shifts, being six in the sub-category of *tense* and two in that of *grammatical class*. Syntactic-Stylistic Modification/implicitation has two occurrences, and, finally, Syntactic-Pragmatic Modification/*deixis, anaphora* with just one shift found.

As already pointed out, Mutation is a category standing out with a high number of shifts (11), ten occurrences being in the sub-category of *deletion* and one in *radical change of meaning*.

Concerning the third main category of shifts, Modulation manifests itself in only two occurrences, in Semantic Modulation/generalization, in the sub-category of *f/c/m*.

Collectively, the sum total of shifts (45) yields the following picture: modulation (5), modification (29) and mutation (11). Deletion stands out as the preferred strategy applied in the translated text, at least in these two sections examined. The evidence provided by the analysis (with the modification category presenting the highest number of shifts), supports the claim for the *different constructions of reality* portrayed in the ST and TT. The fact that separately, the category of mutation is the preferred strategy is quite interesting in the sense that this aspect of disjunction typically results in the disappearance of pieces of information that were in the source text. This has a bearing on the political dimension of the translation, to be discussed below (see section 3.4).

What I have done so far is to speculate upon the numbers emerging from the application of the comparative model. From now on, I am going to examine the consequences of these shifts at the macrostructural level. Of course, as van Leuven-Zwart points out, "the macrostructure of fictional texts is made up of units of meaning" (1989, p. 171), but these units of meaning transcend the phrases, the clauses and the sentences, and they refer to the nature, ordering of the episodes, and especially to the narrator's attitude towards the fictional world. My analysis focuses on the narrator's attitude, in this case, not towards a fictional world, but

towards an episode of real life, the happenings surrounding a political fact – the murder of Chico Mendes.

In the next section, I am going to analyze the *influence* of the categories and sub-categories of microshifts upon the macrostructural level. Then, I am going to compare the ST narrator's attitude towards the reality he portrays to the translator's attitude as a narrator, towards the reality he portrays as well.

3.3 The influence of microstructural shifts on the macrostructural level

This section attempts to establish the interpretation of the potential consequences of frequent and consistent microstructural shifts occurring in ST and TT.

3.3.1 Semantic Modulation / Semantic Modification

The two subcategories, Semantic Modulation and Semantic Modification, are considered, by van Leuven-Zwart (1990, p. 78) to be an "analogous phenomena", in the sense that "both are dependent on the occurrence of semantic disjunctive aspects". Consequently, there is also an analogy between the influence of Semantic Modulation and Semantic Modification on the macrostructure. Frequent and consistent shifts in these two categories may bring about a change in the narrator's mind style as they result from a shift in the ideational function occurring on the discourse level. The consequence of this is that the image of the reality portrayed and the distance between the narrator and such a reality may suffer a change. These kinds of disjunctive aspects (or shifts)

occurring in the corpus analyzed are brought to bear in the discussion of such aspects.

"Semantic modulation is concerned with a semantic choice on the part of the translator, which is either more specific or more general than the one made by the author of the original text" (van Leuven-Zwart, 1990, p. 70). In this particular case, it is not possible to be conclusive about the translator's strategy in terms of opting for greater specification or generalization, since the frequency of generalization, three times, and the frequency of specification, two times, is not high enough to be suggestive of a tendency. While Semantic Modulation is not meaningful in terms of indicating the translator's preferred behavior, each occurrence is meaningful in terms of the quality of information conveyed and realities constructed. Taking the case of Table 2.2, Semantic Modulation category, the use of the *intensive element 'tudo'* renders a more emotionally charged mind-style. However, this does not imply a pattern, since this element is used in the place of the 'prop' subject *it*, which has no correspondence in the Portuguese language. On the other hand, the generalizations of Table 2.12, *f/c/m,* with the usage of less precise terms such as *consciência ambiental*, instead of *environmental activists* and *caçadores* instead of *poachers*, may result in a vaguer mind-style, with the transformation of a more emotionally charged mind into a more neutral one.

In the category of Semantic Modification, the case of Table 2.14, the ST narrator makes use of the expression *has breathtaking footage of* when referring to the setting of the Brazilian soap opera 'Pantanal', while the translated text presents the expression *mostra a beleza.* The implication on the macrostructure of the ST is that once again the narrator puts himself in a superior condition, that is,

in a greater distance from the reader, since his perception of the place seems to be more relevant than the place itself. The TT, however, being closer to the reader, emphasizes the place, not the narrator's perception of it. In these terms, the TT narrator is in an equal footing with the reader.

The subsequent subsections (except for 3.3.6) display instances of modification, either of one sub-category or another. This has implications to the aforementioned claim that two realities are constructed in the ST and TT. In a way, two 'Brasis', so to speak, emerge from the narrative in the two languages. This aspect is detailed in each separate subsection below.

3.3.2 Stylistic Modification

The stylistic disjunctive aspect may affect the interpersonal function. A direct shift in relation to this function results from changes involving *register* and *professional elements*. These elements may provide information about the social distance between narrator / reader.

This same stylistic disjunctive aspect (*register element*) may affect the ideational function: the use of loan words (borrowings) in the ST, such as *novela* (categorized under Syntactic-Stylistic Modification/Implicitation), *telenovela*, *niche*, *grand tour*, and *caveat*, causes the mind style to be evocative. The use of *novela* and *telenovela*, for example, may create an exotic image in the reader's mind. As a result, the reality portrayed offered to the reader of the ST is exotic as well. These uses, in particular, mark this narrator as a *discoverer* returned from a newly visited environment (Brazil), whose distance and difference he is able to codify by means of the borrowings.

This does not apply to the TT, which reverses this picture. The translator's choice for words such as *lugar* and *advertência*, places him in a closer position to the reader, since he is using ordinary words that do not have the sophistication of the loans.

Still concerning *register element*, professional elements occurring in the narrator's text, in the ST, the use of *has footage of* and *caiman* marks a feature of a more scientific register than the simple *mostra* and *jacaré*, as the items are rendered in Portuguese.

Irony may result from the use of *grand tour*, whereas a touch of sophistication may result of *caveat* (loan from Latin) and *niche* (loan from French), which disappear from the text in the translation.

Register elements produce a relevant effect on the macrostructure of the translated narrative. These shifts approximate the narrator of the TT to the reader, in the sense that he makes use of words from the usual language repertoire, while the ST narrator adopts a distant position making use of formal, non ordinary, scientific and loan words. A more accurate analysis of the position of the ST and TT narrators is discussed in section 3. 4.

3.3.3 Syntactic-Semantic Modification

The Syntactic-Semantic Modification shifts emerging in this study occur in three of the sub-categories: *tense*, with seven shifts; *grammatical class*, with three and *person*, with just one shift identified.

> Syntactic-semantic modification involving *verb tenses* may influence the textual function operating on the discourse level: the syntactic ordering in the translation differs from the one in the original text. Syntactic ordering should be understood in this context as the relationship between the action,

event or state of affairs expressed in the transeme and the time of utterance: the action, event or state of affairs takes place either simultaneously, before or after the time of utterance (van Leuven-Zwart, 1990, p. 78).

In view of the above, it should be noted that the ST narrator makes use of what Mary Louise Pratt (1992, p. 64) calls the "timeless present" of the narrative, that is, the narrative "normalizes" the Brazilian reality codifying its difference from the narrator's, fixing it in a timeless present, where the acts and reactions of its members are repetitions of their normal habits ('promises', 'invites', 'enacts', 'is told', 'meets', 'is sworn'). The TT narrator makes use of the simple past tense, referring to the facts as something that have happened in the past, before the time of utterance. These facts are not characterized as the habitual reality of the Brazilian culture, but as facts taking place in a specific historical moment, not necessarily representing a homogenized and fixed reality. The shifts of Tables 2.5 and 2.16 confirm the changing on the image of the reality portrayed, which obviously affects the macrostructure of the texts under examination.

As can be seen from Table 2.5, there is a shift of *person*, in which the impersonal *one* is transformed into the personal *eu*. The retreat into impersonality in the ST, is a distancing strategy, which makes the narrator a neutral mouthpiece disentangled from the facts; in addition, such an individual invisibility has the effect of making "the source(s) of authority difficult to detect and difficult or impossible to challenge" (see Kress, 1989, p. 57-61). The personal form rendered in the TT, confers a touch of personal and emotional involvement onto the narrative. The effect is that of rendering the individual investigator as relevant, his subjectivity as overtly present. The distance between narrator/reader is much shorter than in the original text.

Table 2.17 presents a shift in the *grammatical class*. In (a), the nominalization existing in *da busca* (from the non-finite form *groping for*), has the effect of (i) subtracting the element of a continuous and still incomplete 'going-on' carried out by the entity *Brazil* and of (ii) transforming it into a more passive element, *busca do Brasil*, bearing the implication of something possessed by Brazil less as an action and more as a characteristic.

Table 2.17 (b), *breathtaking* is a pre-modifying element coloring the noun 'footage' and displaying, at this moment, the narrator's emotional participation in the description provided. The TT, on the contrary, renders the same instance by means of another grammatical class (a noun, *beleza*), subtracting the emotional charge present in the ST.

There is only one shift of the sub-category of *grammatical class* in 'Caveat Emptor', Table 2.6: a change in the process realizing the image created (from relational process to mental process). The consequence is that from the affirmation of identity present in ST (*He* was), the image is turned into a perception via people's eyes (viam-*no*), which changes completely the reality portrayed.

3.3.4 Syntactic-Stylistic Modification

Van Leuven-Zwart's considerations on Syntactic-Stylistic Modification (concerning the extra elements added to the TT in the case of explicitation), is that they do not convey new information.

> Addition or deletion of these 'extra' elements concerns the syntactic ordering of the utterance. Thus, frequent and consistent syntactic-stylistic modification bears upon the textual function operating on the discourse level, increasing or reducing the degree of explicitness (van Leuven-Zwart, 1990, p. 82).

They might, however, affect the macrostructural level. In this context, Tables 2.8 and 2.9 present 'extra' elements and 'extra' syntactic-stylistic information at the microstructural level, as mentioned in Chapter 2: the TT narrator in using the term *vínculos familiares e de fidelidade*, expands the meaning of the original *kinship loyalties*. This implies that the TT narrator has an understanding of 'loyalty' as being much more related to political aspects, while the ST narrator restricts the relation of loyalty to those of family. Thus, the TT narrator seems to be in tune with the political configuration of the reality portrayed, since a series of highly politicized facts surrounding the murder of Chico Mendes is at stake.

As with van Leuven-Zwart's study, here, explicitation was found to be one of the disjunctive aspects most frequently noticed, particularly in 'Caveat Emptor' (5 shifts). This confirms the "explicitation hypothesis" put forward by Shoshana Blum-Kulka (1986), in which "explicitation is viewed as inherent in the process of translation (p. 19). In these specific cases of explicitation, the translator's narrative (Tables 2.7, 2.8, 2.9 and 2.10) tends to be explanatory and interpretative. In table 2.9 (b), the translator adds *numa narrativa baseada em fatos reais* as his own interpretation of what he considers to be the *history*, which the ST narrator is referring to. In order to support this interpretative aspect, the TT narrator makes use of *como sempre acontece*, thus maintaining the realization of the clause after his interpretation.

On the other hand, there are two cases of implicitation. As already mentioned, explicitation is a usual practice in translation, but as this translation is directed to the culture where the facts happened, some of the information are not viewed as necessary by the TT translator. This is the case of Table 2.18 (b), in

which the TTT presents *região* instead of *great swamp*, since the Brazilian reader

knows that 'Pantanal do Mato Grosso' is a swampy area of land. This

information, *great swamp*, is necessary for the reader of the ST, who does not

know what kind of region 'Pantanal do Mato Grosso'is. In (a), the ST specifies a

characteristic of 'Brazil groping for' that makes use of irony in *the ongoing*

novela, a clear interpretation of the ST narrator. The TT narrator, does not have

the same interpretation, or does not emphasize the ST narrator's interpretation, as

can be seen in his removal of these terms.

3.3.5 Syntactic-Pragmatic Modification

According to van Leuven-Zwart (1990, p. 83), the microstructural shifts

of the Syntactic-Pragmatic Modification

> (. . .) are the result of a choice on the part of the translator on the syntactic
> ordering of the transemes. Therefore, frequent and consistent syntactic-
> pragmatic modification may cause a shift on the textual function operating
> on the discourse level, which may, in turn, result in a shift in the
> interpersonal function.

This is the case of the occurrences in Tables 2.11 and 2.19. In the case of

Table 2.19, *deixis/anaphora,* the TTT opts for a retrieval of the referent, the

president (*O presidente*), resulting in an explicit relation between the different

parts of the text and in a high degree of explicitness.

In Table 2.11, *It's different down there/ No Brasil, tudo é diferente,*

Syntactic-Pragmatic Modification with respect to thematic meaning is related to

the structuring of the transeme elements in terms of order and emphasis: what in

one text is presented as new, important information (*down there*) is presented in

the other as less important[1]. The TTT presents the focus of the unit as being *different*, whereas the focus of the information in the STT is *down there*. This completely changes the perspective in which the reality is portrayed.

3.3.6 Mutation

"Mutation occurs whenever it is impossible to establish an ATR, due to the absence of one or more aspects of conjunction in (elements of) the transemes in the original text and the translation" (van Leuven-Zwart, 1990, p.86).

From the ten shifts occurring in the sub-category of *deletion*, two of them are situational, Table 2.20 (a) and (j), which do not show much relevance in terms of the macrostructural shifts in this particular investigation. The other eight shifts, Table 2.20 (b), (c), (d), (e), (f), (g), (h) and (i), refer to political information about the economic and ecological reality of the world portrayed. There are cases (d) and (g) in which entire paragraphs are deleted. The effects on the discourse level are crucial in the sense that the TT narrator does not report the political situation of the reality portrayed as the ST narrator has chosen to do, thus downtoning the politically loaded image of Brazil constructed in the ST.

Another case of mutation is Table 2.21, in the sub-category of *radical change of meaning*. A minimum common denominator is established: the place – the Amazon. The ST narrator is referring to Brazilian political leaders' way of dealing with the matters concerning the Amazon, while the TT narrator is referring to the situation as if the Amazon, itself, had a problem, taking the responsibility away from the Brazilian leaders' dealing with the Amazon issue.

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[1] "Typically, the 'new' comes at the end of the information unit, and so forms part of the Rheme of the clause, while the 'given' precedes it (and thus include the Theme)" (Halliday, 1994, p.59).

Again, the TT narrator downtones and re-directs the political dimension, since no reference is made to the political aspects implicated in the Amazon matters, treating the Amazon as an active subject, and not as a region subjected to human arbitrary action.

3.4   The ST and the TT narrators in relation to the reality portrayed

In the introductory chapter of his book, 'Caveat Emptor', Shoumatoff claims to have endeavored to be impartial. Even endeavoring to be impartial, the characteristic of his writing is clearly the one of Travel Writing. As Ashcroft, Griffiths & Tiffin (1998, p. 95-98) show, when the traveler enters the territory of the "other", in search of an exotic experience, he typically stereotypes, packages and reduces it to an easily consumed product. The fact of treating the reality of the observed culture as the "other", in itself means that the ST narrator adopts a distant position from what he portrays, in so doing, he indicates he belongs to another culture, a different one. How is it possible to be impartial adopting the attitude of being different? In order to establish his cultural difference, it seems to be necessary to judge, classify, and categorize what is being observed in the light of a referential, which in this case is the hegemonic culture in relation to the dominated one. The ST narrator creates an image of the Brazilian reality to American readers within the genre of travel writing, portraying Brazil as an exotic and "different" place from his reality. This is clear in his use of the expression *down there*, a negative construal, as a way of portraying life and social organization that is classified, by the hegemonic patterns, as inferior. It is true, however, that Shoumatoff attempts to be impartial, the use of *one* confirms this.

But his seemingly impartiality contrasts with his frequent use of interpretative terms as *breathtaking, shocking, radical, sweeping,* and *down there*.

The ST narrative represents the power of the cultural domination, this partiality is not personal, it is political and cultural, transcending the ST writer's wish to be partial or not. It is beyond his will.

The TT translator does not have a preface; in terms of metatexts he has a note for 'Caveat Emptor' explaining this expression. Although he does not present a 'declared agenda', the evidence of the analysis points to a less politically loaded narrative. Taking into consideration that the murder of Chico Mendes has relevance in the Brazilian reality, particularly in the Amazon setting, due to its political implications, the TT narrator's position of downtoning the negative constructions of the ST dismantles the hegemonic representation of the ST, thus reframing - from the perspective of a Brazilian translator writing to a Brazilian audience - the context of the political tensions present in the Amazon. An example of this is his practice of *deletion*, as a translation strategy, producing an image of the Amazon, which does not thoroughly correspond, as mentioned above, to the ecological and political tensions emerging from the conflict of interests over this 'temple of biodiversity of the planet'.

CONCLUSION

We shall not cease from exploration, and the end of all our exploring will be
to arrive where we started and know the place for the first time.

T. S. Eliot

1 Initial remarks

This thesis began as an interest in narratives of travel writing and their relation to translation. The first premise was that "(...) approaching a culture inexorably implies beginning a process of translation" (Álvarez, R. & Carmen-África Vidal, C. 1996, p. 3). This premise underlies the choice of the title *A Janus-Faced Manipulation: An Investigation of Narratives Constructed on the Amazon on the Target and Source Contexts*, in the sense that, along the lines sugegsted by Álvarez, R. & Carmen-África Vidal, C. , Shoumatoff's *The World is Burning – Murder in the Rain Forest* already constitutes a *translation of a reality*, constructed from the perspective of the traveler, an American travel writer whose structures of representation reflect the culture to which he belongs, and to which he is writing. Shoumatoff's text is, in the sense proposed in Carbonell's words in his article "The exotic space of cultural translation" (1996, p. 81), a "cultural translation":

> (...) Cultural translation (...) takes place whenever an alien experience is internalized and rewritten in the culture where that experience is received.

Thus, the *Janus-Faced Manipulation* is claimed to take place, since both the ST and the TT, in their signifying procedures, encode a representation: the ST produces the image of the Amazon – "down there" - for its American readers, informed by a sense of the *difference* from the place and culture visited and reported on; the TT produces images framed by the sense of (the translator's ?) *political* manipulation, in the downtoning strategies, which removes from the narrative both ironies and homogenized constructions present in the ST.

In order to examine such issues, van Leuven-Zwart's (1989, 1990) model was used, as it is openly intended for the analysis of integral translations of narrative texts. In addition, the model was used for it presumably accountability of both micro- and macrostructural shifts, thus being able to account for the way localized shifts can affect the general 'tone' of the translated text, at a macrostructural level.

The main contribution of this study is to make an attempt to see, using Halliday's words, if van Leuven-Zwart's model can "facilitate the task in hand" (1994, p. XXX). In other words, to check the validity of the model to investigate shifts in translation and, as a consequence, gain some insights into the translator's preferred strategies, with the exploration of the implications of the shifts for the general 'feel' of the translated text.

The model makes possible to tabulate the shifts and, "when all the data are put together, the kind and degree of difference between the total 'impression' created by the original text and its translation" (Hermans, 1999, p. 61).

2 Research questions revisited

The microshifts observed reach a certain *frequency* and *consistency*. In the two texts examined ('Caveat Emptor' and 'Epilogue'), there were found 45 shifts, being 64% of the modification type, 25% mutation and 11% modulation. *Semantic* shifts were the most common: even distributed in different categories. Syntactic-semantic modification was the category with the majority of shifts (11). As to the sub-categories, deletion presents a noticeable high occurrence (10).

Concerning *consistency*, they respect the same principles, for example, all the shifts in *tense* go from the simple present to the simple past tense.

The most relevant consequence of the microstructural shifts on the macrostructure of the TT is that the translator does not report the exact political situation of the reality portrayed by the ST, in the sense that he downtones the politically loaded image constructed in the ST, either by his semantic choices, or by removing the traces of the politically charged elements.

3 Merits and limitations of the model

Does the model facilitate the task in hand?

In order to answer this question, the following discussion points out the merits and limitations of van Leuven-Zwart's model.

The establishment of the ATR makes the identification of shifts easier. Those not initially perceived just by simply matching the ST and TT transemes, emerged when the ATR was set. The method is systematized and detailed, built on clear and explicit concepts, thus providing a solid basis for discussion. Van Leuven–Zwart's concepts for the descriptive model derived from specific narratological concepts, such as 'narrator', 'discourse level', among which 'focalization' was of great help in this particular study. The model's intricacy, however, demands extensive knowledge of the concepts of linguistics on the part of the researcher. The application of the comparative model requires intensive labor, making it hard to be employed to entire texts, so that fragments have to be

selected – but then, which fragments, and how representative will they be? The other possibility would be the use of computational tools, which was not tested in this research.

The application of the model involves a strong interpretative element, but van Leuven-Zwart does not give prominence for it in the procedures she proposes. However, she admits, that "is not always easy to find a common denominator and to express it in terms of an ATR" (1989, p. 158) and suggests "the use of a good descriptive dictionary". This seems inadequate at times, especially when stylistic shifts are at stake. The categorization of shifts is also interpretative, for example, the ST's narrator has chosen the word *niche*, which compared with the ATR 'position' was categorized as stylistic modification, but it seems that it could also be a semantic shift.

Another point of limitation concerns the fact that van Leuven-Zwart recognized that the qualitative importance of shifts might outweigh the quantitative aspect, but she does not say which shifts are qualitatively more significant than others, leaving this decision, again, to the interpretation of the researcher.

4 Limitations of the present research

Not all the sections of the book were analyzed. The consequence was that I did not completely achieve the purpose of the method, which is to arrive at hypotheses about the strategies underlying the translation process. In order to investigate the entire texts, computational tools could have been profitably used. The analysis of 'Caveat Emptor' and 'Epilogue' give evidence of some

characteristics of the strategy used by the translator, but this evidence cannot be considered conclusive in relation to the entire text, being just an evidence of the *tendency* displayed.

The construct of the ATR was not an easy task due to the complexity of the task and to the requirement of a thorough familiarity with the model, with a recurrent analysis of the texts, in order to establish a systematic referential to attempt a more objective basis for the subjectivity of my personal interpretation.

5 Recommendation for further research

From the limitations of the present study, I propose an investigation with the aid of computational tools to make possible the analysis of the entire texts, in order to fulfill the purpose of the method of gaining insights into the strategies and norms underlying the translation activity. Finally, to explore a more political dimension of translation, another issue to be addressed would be the examination of the aspects of the exotization present in the ST and the treatment given to them in the TT, by drawing more systematically on concepts of theories of travel writing and postcolonial studies.

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it is not to claim their authority, but to express indebtedness
and to give the reader some hint of what to expect.

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Appendix 1

Appendix 2

Caveat Emptor

In many ways this is a book of opinion, because the "facts" of this story, which I have diligently and impartially endeavored to set forth, sometimes don't add up. Part of the problem is the general difficulty of obtaining reliable information in the Amazon, which has plagued researchers for centuries and which is discussed in the section "The Amazon Numbers Problem" (it is also a leitmotif of my earlier book *In Southern Light*). Part of it arises from the passionate and conflicting responses that Chico Mendes's work and his murder elicited: depending on whom one talked to, and on that person's class and kinship loyalties, he was either Christ or the Anti-Christ. Most of my sources, including the Brazilian newspapers - which were sometimes the source for important parts of the story - were polarized between these two political positions, and I therefore had to weigh their information very carefully. Wherever possible, I collected as many versions of a given incident from interviews and other sources as I could, and in the end I often had to make a judgment call in deciding which version seemed closest to what happened. Distortion through translation was not a factor, since in the fourteen years I've been writing about Brazil I've become reasonably fluent in the language, but my evaluations of the veracity and the motives of my informants are another matter. In some cases I had to rely on my journalistic instincts. As with everything in history, no one will ever know exactly what happened. But then again, to what extent can you believe in anything? Especially in a place like Brazil, where the general outlook on the passing scene is so fluid, where so many things - cultural attitudes, even the continuously changing currency - conspire against the vision of a stable, fixed reality. It's different down there.

Caveat Emptor*

De várias formas este é um livro de opiniões, pois os "fatos" desta história, os quais esforcei-me em transmitir de forma imparcial, às vezes não conferem. Parte desse problema é a dificuldade geral de se obter informações confiáveis na Amazônia, que foi o tormento dos pesquisadores há séculos, e que é abordada neste livro, em "O Problema dos Dados Amazônicos" (tema central de meu livro anterior, *In Southern Light*). Parte disso emerge das respostas apaixonadas e conflitantes suscitadas pelo trabalho de Chico Mendes e seu assassinato: dependendo da pessoa com quem eu falava, da sua classe social, vínculos familiares e de fidelidade, viam-no como Cristo ou o Anticristo. A maior parte das fontes que utilizei, incluindo os jornais brasileiros – que algumas vezes se tornaram a fonte de partes importantes da História – , estava polarizada entre essas duas posições políticas, e portanto eu precisava avaliar cuidadosamente cada informação. Sempre que possível, eu coletava quantas versões podia de um dado acontecimento, por meio de entrevistas e fontes diversas, e no final freqüentemente precisava fazer uma opção sobre qual versão seria a mais próxima dos acontecimentos. A distorção decorrente de traduções não se constituiu em problema, já que nos catorze anos em que escrevi sobre o Brasil, tornei-me razoavelmente fluente na língua, embora minhas avaliações sobre veracidade e motivações de meus informantes constituam um outro problema. Em alguns casos, apoiei-me no instinto jornalístico. Como sempre acontece numa narrativa baseada em fatos reais, ninguém se recorda exatamente do que aconteceu. Mas até que ponto se pode acreditar em alguma coisa? Especialmente num lugar como o Brasil, onde a visão geral sobre o que está ocorrendo é tão fluida, onde outras coisas – atitudes culturais, e mesmo a moeda, sempre em mudança – conspiram contra a visão de uma realidade fixa e estável. No Brasil, tudo é diferente.

* Expressão latina que significa *Acautele-se o Comprador!*, utilizada para prevenir o comprador contra possíveis explorações. (N. do E.)

Epilogue

In the latest episode of the ongoing *novela* that is Brazil groping for its niche in the modern world, President-elect Collor, on his grand tour of the superpowers, is told in no uncertain terms by everyone he meets, "If you want to be accepted as one of us, clean up your act in the Amazon." Prince Charles, especially, lays it on the line about the genocide of the Yanomamo. Collor promises to do something about it and invites the "Green Prince" to take a trip to the Amazon with him in early November.

Collor is sworn in on March 15, and he immediately enacts a series of sweeping changes on the economic and ecological fronts. With inflation running at 80 percent a month, he freezes for eighteen months all bank accounts with balances of more than $ 1,200 – a total of more than $100 billion – and declares the new cruzado extinct. The currency goes back to cruzeiros. These radical stabilization measures, socking it primarily to the middle class and the rich, seem in character with someone like Lula than a free-market capitalist born to wealth. The arts, which depend on government subsidies (corporate tax incentives like the ones destroying the Amazon) are paralyzed. The newly renovated opera house in Manaus, which had booked Placido Domingo, cancels its season. Multinationals like Ford, General Motors, Johnson and Johnson, Citicorp, and Quaker Oats post alarming losses, and the highly specialized and very tricky secondary

Epílogo

No mais recente episódio da busca do Brasil por um lugar no Primeiro Mundo, o presidente eleito, Collor, em suas visitas às superpotências, recebeu a mesma resposta incerta de todos com quem se encontrou:

- Se quiser ser aceito como um de nós, precisa resolver o problema da Amazônia.

O príncipe Charles, inclusive, foi incisivo quanto ao genocídio dos índios ianomamis. Collor prometeu tomar providências e convidou o "Príncipe Verde" para viajar com ele pela Amazônia.

Collor tomou posse em 15 de março de 1990 e imediatamente promulgou uma série de mudanças no campo econômico, que também alcançaram a ecologia. As medidas de estabilização da economia – até então passando a marca de 80 por cento de inflação ao mês – atingiram num primeiro momento a classe média e os ricos, parecendo mais de acordo com o programa de seu competidor Lula do que com um defensor do livre capitalismo, nascido em família rica. Os 10 por cento de brasileiros com mais de 50 mil no banco começaram a chamar o pacote de Collor de *catastroika* e a acusá-lo de traidor de sua classe social.

A escolha feita por Collor para a Secretaria Especial do Meio Ambiente foi igualmente uma surpresa: José Lutzenberger, um homem dedicado, excêntrico defensor do meio ambiente e amigo de Chico Mendes; Adrian Cowell foi o

Brazilian debt market slumps as zero inflation produces a recession. Restaurateurs overcharging for their beers are hauled off to prison for "crimes against the people's economy," and – on the positive side – thousands of prospectors leave Roraima because the agents have no cash to buy their gold dust. The 10 percent of Brazilians with more than $ 1,200 in the bank begin to call Collor's package *catastroika* and to accuse him of betraying his class.

Collor's choice for special secretary of the environment is equally shocking: José Lutzenberger, a dedicated, slightly eccentric conservationist and an old friend of Chico's; Adrian Cowell was instrumental in the international promotion of both their careers. Lutz, as his admirers call him, flies up to Roraima and is appalled by the chaotic situation he finds there, with 45,000 prospectors overrunning the villages and the forest home of the neolithic Yanomamo, who have by now been reduced to fewer than 10,000. At Lutz's suggestion Collor orders that the hundred-some clandestine landing strips of the prospectors be dynamited. None other than Romeo Tuma, the burly arm of the Brazilian law, who has been retained as the head of the Federal Police, is put in charge of the operation. One hopes it will be more successful than Operation Sweep.

The world applauds these steps, but the situation in Roraima may not be salvageable. The prospectors, who are themselves victims, rejects of the Brazilian Miracle, and have nothing to lose, will only build new strips. "How can we be expected to stand with our arms folded before a mountain of gold?" as the governor

divulgador da carreira de ambos no exterior. Lutz, como seus admiradores o chamam, voa para Roraima e se assusta com a caótica situação que lá encontra: 45 mil garimpeiros devastando as aldeias e as florestas dos neolíticos ianomamis, que àquela altura já tinham sido reduzidos a apenas 10 mil indivíduos. Por sugestão de Lutz, Collor ordena que cerca de cem pistas de pouso clandestinas dos garimpeiros sejam dinamitadas. Ninguém menos do que Romeu Tuma, que permaneceu no comando da Polícia Federal, deve se incumbir dessa operação.

O mundo aplaude essas medidas, mas a situação em Roraima pode não estar salva. Os garimpeiros, eles próprios vítimas, marginais do "milagre brasileiro", não tendo mais nada a perder, construirão outras pistas. "Como podem esperar que fiquemos de braços cruzados diante de uma montanha de ouro?", é como o governador de Roraima, Rubens Villar, expõe o problema. Mas as informações internas são que Collor quer mesmo salvar a Amazônia. O presidente está mais impressionado com a proposta de Lutz – controle brando de não mais de 80 por cento da Amazônia – do que com a velha receita militar: encher o lugar de gente antes que outros o façam. A opinião de Lovejoy é que "parece que o bloco de gelo está se quebrando. Pode haver esperança ali. Só resta esperar".

As discussões sobre o efeito estufa prosseguem e se refletem nas confusas manchetes do *New York Times*: 30 de março – "NENHUM AQUECIMENTO DA TERRA LOCALIZADO"; 16 de abril – "GRUPO DE CIENTISTAS ALERTA PARA GRANDE AQUE-

of Roraima, Rubens Villar, puts it. But the inside information is that Collor is really serious about saving the Amazon. He is far more impressed with Lutz's proposal for Amazonia – light management of no more than 80 per cent of the valley – than with the military's old recipe: fill it up with people before others get in there. Lovejoy's take is that "it looks like the ice jam is beginning to break. A moment of real hope may be here. We'll just have to see."

The debate over the greenhouse effect continues and is reflected by confusing headlines in the *New York Times*: March 30 – "NO GLOBAL WARMING SPOTTED"; April 16 – "TEAM OF SCIENTISTS SEES SUBSTANTIAL WARMING OF EARTH." The Bush people are still stalling; "We need more study," they keep saying. Tempers – as well as temperatures – are rising, although the rain this spring has been excessive, and as I look out my window on this dank May 22 morning, the mountains in the distance, none of them more than a mile high, are dusted with snow. The effect seems to be taking a break again.

The road to the Pacific and the lucrative markets of the East has a new champion: Alberto Fujimori, a Peruvian of Japanese descent, who recently displaced the novelist Mario Vargas Llosa as the front-runner in Peru's upcoming presidential race.

The news from Acre remains grim. Detective Nilson, who had been really trying to get to the bottom of the murder and to nail the *cabeças,* is taken off the case and replaced with a puppet. Ilzamar goes to Rio Branco to demand his reinstatement and on her return to Xapuri is beaten up in

CIMENTO DA TERRA". Os assessores de George Bush continuam céticos. "Precisamos de mais estudos", dizem. Os ânimos, assim como as temperaturas, estão esquentando, apesar de a chuva desta primavera ter sido excessiva, e de eu olhar pela minha janela nesta manhã úmida de 22 de maio e ver as montanhas ao longe – nenhuma delas com mais de 1600 metros de altitude – cobertas de neve. O efeito estufa parece estar dando uma trégua.

A rota para o Pacífico e os lucrativos mercados do Ocidente parecem ter um novo campeão: Alberto Fujimori, peruano descendente de japoneses, que recentemente venceu a corrida presidencial no Peru, batendo o escritor Mário Vargas Llosa.

As notícias do Acre permanecem desanimadoras. O investigador Nílson, que realmente tentava chegar aos mandantes do assassinato, foi retirado do caso e substituído por um fantoche. Ilzamar vai para Rio Branco exigir a volta de Nílson; ao retornar a Xapuri, é espancada na rua pelo filho mais novo de Darly, Darlizinho, e seus amigos. Os jornais anunciam que o julgamento do caso Chico Mendes, inicialmente marcado para o dia 25 de outubro de 1990, foi adiado para o dia 12 de dezembro de 1990. Será um júri popular e um grande evento para a imprensa, com observadores internacionais, e os mandantes serão trazidos perante a Justiça, não apenas os Alves da Silva. (Estou cético: as autoridade do Acre não irão a fundo nas investigações sobre o assassinato de Chico Mendes mais do que as de Washington permitiram traçar as ligações entre a Casa Branca e o caso Irã-contras.)

Como sempre, é impossível pre-

the street by Darli's youngest son, Darlizinho, and a bunch of his friends. The *Jornal do Brasil* announces that the trial of Darli, Darci, and Oloci will finally take place, in June. It will be a jury trial, and a big media event, with international observers, and the *cabeças* will be brought to justice, not only the Alves da Silvas. (I am skeptical when I read this: the powers that be in Acre aren't about to let a full public investigation of the murder of Chico Mendes be conducted any more than the powers that be in Washington are going to allow the clear leads to the White House in the Iran-contra affair to be followed. Indeed, the story turns out to be only a rumor: to date no trial has been scheduled.)

As usual, it's impossible to figure out what, if anything, is happening with the movie. Peter Guber has been telling people that he is going to make it, but David Puttnam says that's not true, that Guber has been helping him mend fences with J.N. Films and the tappers' movement (but why would Guber help Puttnam?).

Meanwhile a new *telenovela*, *Pantanal,* has replaced *Kananga do Japão* and is attracting viewers in record numbers. The first ecological soap opera to air in Brazil, it's set in the Pantanal do Mato Grosso and has breathtaking footage of the great swamp's wildlife; the protagonists are young environmental activists battling the poachers of the caimans. "It's amazing how ecology has become prime-time in Brazil when just a few years ago nobody had even heard the word," Julio Cesar writes. "Maybe it's the Indian in us reasserting itself."

"By the way, you don't really

ver o que, se existe alguma coisa, está acontecendo com o filme. Peter Guber andou espalhando que ele irá realizá-lo, embora David Puttnam diga que não é verdade, que Guber o tem ajudado nos contatos com a J.N. Filmes e com os seringueiros (mas por que Guber ajudaria Puttnam?).

Enquanto isso, uma nova novela, *Pantanal,* ganhou grande audiência. Foi a primeira novela ecológica feita no Brasil, ambientada no Pantanal do Mato Grosso, e mostra a beleza da vida selvagem da região; entre os protagonistas, estão jovens com consciência ambiental lutando contra caçadores de jacaré.

"A propósito", escreve-me Júlio César, " você não pensou realmente que eu falava a sério naqueles comentários a favor do desenvolvimento e anti-ecologia, no capítulo final? Foram apenas um exercício de sofisma. Às vezes eu assumo a postura de um nazista, racista, rastafari, ou testemunha-de-jeová, só para provocar discussões. Isso não quer dizer que eu seja um deles."

O que nos remete à advertência levantada no início: até que ponto se pode acreditar em alguma coisa?

think I really meant those prodevelopment, antiecologist remarks at the end there, do you? They were just an exercise in sophism. Sometimes I take the persona of a Nazi, a racist, a Rastafarian, or a Jehovah's Witness, to provoke debate. This doesn't mean I'm one of them."

Which brings us back to the caveat raised at the outset: how can you believe anybody?

Appendix 4