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PÓS-GRADUAÇÃO EM LETRAS/INGLÊS E LITERATURA CORRESPONDENTE

*BLACK INTO WHITE AND PRETO NO BRANCO:*  
CAN YOU TELL ONE'S COLOUR BY THE COMPANY ONE KEEPS?

ALINNE BALDUINO PIRES FERNANDES

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*To constant modellings and remodellings of realities – let them be –,*

*And to Israel, my funny valentine.*

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## ABSTRACT

*BLACK INTO WHITE AND PRETO NO BRANCO:*  
CAN YOU TELL ONE'S COLOUR BY THE COMPANY ONE KEEPS?

ALINNE BALDUINO PIRES FERNANDES

UNIVERSIDADE FEDERAL DE SANTA CATARINA  
2009

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This Thesis was carried out at the interface between Corpus-based Translation Studies (CTS) and Systemic Functional Translation Studies (SFTS). CTS informs the methodological apparatus which framed this Thesis. SFTS provides conceptual tools to look at how the Brazilian entity *mestiço* is construed in North American English in the textualisation *Black into White*, and how it is construed in Brazilian Portuguese in the re-textualisation *Preto no Branco* by means of the categories of the experiential component of the ideational metafunction of language, and by means of the categories of lexical cohesion. The book was written by the Brazil-specialist Thomas Skidmore, and published for the first time in 1974. In 1976, the book was published in Brazil translated by the Brazilian diplomat Raul de Sá Barbosa. The book, which proposes to describe Brazilian racial thought, narrates Brazilian political and social turnabouts from the abolition of slavery until the late thirties of the twentieth century. In this vein, the research questions which guide this Thesis are: (i) How are the *mestiços* construed in terms of processes in the ideational metafunction of language both in *Black into White* and *Preto no Branco*? Do ideational patterns arise in the two representations? If so, which? (ii) Is the cohesive chain of the textualisation different from that of the re-textualisation? (iii) Do textualisation and re-textualisation reaffirm the racist thought of 1870-1930? Textualisation and re-textualisation do not diverge considerably in terms of ideational constructions, though interesting patterns of new language construction have arisen in the re-textualisation. Predominant material and relational processes seem to realise the *mestiço* in agreement with racist thought that influenced Brazilian political posture from late nineteenth to late twentieth centuries. The lexical cohesive chain of the re-textualisation follows pretty much the same patterns of the textualisation.

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Nº de palavras: 39.523

Palavras-chave: Systemic Functional Translation Studies (SFTS); Corpus-based Translation Studies (CTS); Representations in language; *Black into White*; *Preto no Branco*; *mestiço*; Thomas Skidmore.

**RESUMO**

*BLACK INTO WHITE E PRETO NO BRANCO:*  
DIGA-ME COM QUEM ANDAS QUE TE DIREI A TUA COR

ALINNE BALDUINO PIRES FERNANDES

UNIVERSIDADE FEDERAL DE SANTA CATARINA  
2009

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Esta dissertação foi desenvolvida no âmbito dos Estudos da Tradução baseados em Corpora (ETC) e dos Estudos da Tradução Sistêmico-Funcionais (ETSF). Os ETC moldam os parâmetros metodológicos que desenham este trabalho. Os ETSF fornecem as ferramentas de análise que investigam como a entidade brasileira *mestiço* é construída em Inglês Norte-Americano na textualização *Black into White* e como é construída em Português Brasileiro na re-textualização *Preto no Branco* por meio de categorias do componente experiencial da metafunção ideacional da linguagem e por meio de categorias da coesão lexical. *Black into White* foi escrito pelo brasilianista Thomas Skidmore publicado pela primeira vez nos EUA em 1974. Em 1976, o livro foi publicado no Brasil na tradução do diplomata aposentado Raul de Sá Barbosa. O livro, uma proposta de descrição do pensamento racial brasileiro, narra os trâmites políticos e sociais iniciais da abolição da escravatura até a década de trinta do século XX. Com base nisso, as seguintes perguntas de pesquisa orientam este estudo: (i) quais processos constroem os *mestiços* na textualização e na re-textualização? Que padrões ideacionais e textuais surgem?; (ii) A cadeia coesiva lexical da textualização é diferente daquela da re-textualização? (iii) A textualização e a re-textualização reafirmam o suposto pensamento racista de 1870-1930? A textualização e a re-textualização não apresentam grandes diferenças em suas construções ideacionais, embora haja interessantes padrões de novas construções de linguagem na re-textualização. A predominância de processos materiais e relacionais parece apontar para a representação do *mestiço* em consonância com o pensamento racista que embasou posturas políticas de fins do século XIX a meados do século XX. A cadeia coesiva lexical da re-textualização tende a seguir os mesmos padrões da textualização.

Nº de páginas: 127

Nº de palavras: 39.523

Palavras-chave: Estudos da Tradução Sistêmico-Funcionais (ETSF); Estudos da Tradução baseados em Corpus (ETC); Representações na língua; *Black into White*; *Preto no Branco*; *mestiço*; Thomas Skidmore.

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**LIST OF ABBREVIATIONS**

BW – *Black into White: Race and Nationality in Brazilian Thought*

CL – Corpus Linguistics

CTS – Corpus-based Translation Studies

DTS – Descriptive Translation Studies

NLC – New Language Construction

PB – *Preto no Branco: Raça e Nacionalidade no Pensamento Brasileiro*

RT – Re-Textualisation

SFL – Systemic Functional Linguistics

SFTS – Systemic Functional Translation Studies

T – Textualisation

TS – Translation Studies

UFMG – Universidade Federal de Minas Gerais

UFSC – Universidade Federal de Santa Catarina

WST – WordSmith Tools

*Yes: race and class and gender remain as real as the weather. But what they must mean about the contact between two individuals is less obvious and, like the weather, not predictable.*

*And when these factors of race and class and gender absolutely collapse is whenever you try to use them as automatic concepts of connection. They may serve well as indicators of commonly felt conflict, but as elements of connection they seem about as reliable as precipitation probability for the day after the night before the day.*

*(...)*

***I am reaching for the words to describe the difference between a common identity that has been imposed and the individual identity any one of us will choose, once she gains that chance.***

(Jordan, 1982, pp. 46-47, my emphasis)

# CHAPTER ONE

## Initial Remarks

Scepticism is *not* irrefutable, but obviously nonsensical, when it tries to raise doubts where no questions can be asked. For doubt can exist only where a question exists, a question only where an answer exists, and an answer only where something *can be said*.

We feel that even when all *possible* scientific questions have been answered, the problems of life remain completely untouched. Of course, there are then no questions left, and this itself is the answer.

(Wittgenstein, 2005, p. 88, in *Tractatus Logico-Philosophicus*)

### 1.1 Organisation of this Thesis

This Thesis is one among many works which have been developed to consolidate the interface among Translation Studies (TS), Corpus Linguistics<sup>1</sup> (CL), and Systemic Functional Linguistics<sup>2</sup> (SFL). Two special features of this Thesis, perhaps, may stand out and intrigue investigators to pursue further research. One is that it is seasoned with some drops of cultural studies<sup>3</sup>, that is, it has been enlightened, following the German term *gedankenblitz*, by cultural contexts. The other is that it joins the analysis of SFL's experiential component of language with lexical cohesion. Here I spell out the organisation of this Thesis according to chapter order.

**CHAPTER ONE – Initial Remarks** – narrates motivations, objectives, and research questions of this Thesis;

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<sup>1</sup> An important distinction is made necessary here: This Thesis is carried out within Corpus Based Translation Studies (CTS), there being no claim of affiliation to Corpus Linguistics as such. It is therefore *corpus-based* work because computerized tools streamline the researcher's work, investigating texts in electronic format with the aid of corpus methodologies.

<sup>2</sup> On 2 October 2008, in the 4<sup>th</sup> Conference of Latin American Systemic Functional Linguistics Association held at UFSC, Florianópolis, Brazil, prof. Maria Lúcia Vasconcellos presided the plenary "Systemic Functional Translation Studies (SFTS): the theory travelling in Brazilian environments" in which she mapped the development of the tradition of SFTS in Brazil. Since the 1980's, research has been developed at the interface between SFL and TS which has shown to be a prolific field of study. The investigation of language pairs under the perspective of an SFL-based comparative description is about to be consolidated. In this plenary, the name "Systemic Functional Translation Studies" was used to suggest the coinage of the joint of TS and SFL.

<sup>3</sup> Theories proper of Cultural Studies are not part of the present study. For this reason, "cultural studies" is not presented here in capital letters.

**CHAPTER TWO – Theoretical Frameworks** – provides the reader with theoretical concepts and categories which base this Thesis. Those concepts derive from TS and from SFL – i.e. particular categories of analysis provided by the ideational and textual metafunctions of language in the Hallidayan proposal, put forward since the sixties;

**CHAPTER THREE – Method** – describes all steps taken during the development of this Thesis, reasons why some methodological decisions had to be made in order to narrow down analysis as well as characteristics of the corpus;

**CHAPTER FOUR – Data Analysis** – presents results obtained from the description and analysis of the data;

**CHAPTER FIVE – Final Remarks** – ponders over results and rounds off this enterprise.

## **1.2 Statement of the Problem**

Skidmore (2005) suggests that *race* is at the core of political discussions in the western scenario of the years 1870-1930. The context in which abolition of slavery in Brazil (year 1888) took place was permeated by numerous discussions, especially on whether or not Brazil would be better off if populated by *whites*, rather than by any other races (cf. Skidmore, 2005). That issue generated questions on what it meant to be a white. Was it merely one's skin colour? Was it a biological question? How much would Biology determine one's behaviour and mentality? Within the context of late nineteenth and early twentieth centuries, the so-called Brazilian intellectual class (cf. Skidmore, 2005) started a discussion on Brazilian development in terms of racial matters. The central idea was that the country should be *whitened* in order to advance culturally, economically and intellectually (cf. Skidmore, 2005).



Those questions were revisited by professor Thomas E. Skidmore (2005). In the sixties and seventies of the twentieth century, Brazil was under military dictatorship led by Castello Branco (1964-1967), Costa e Silva (1967-1969), Médici (1969-1974) and later by Geisel (1974-1979). Around that same period, the USA made strategic moves so as to hinder the supposed communist influence that would rise in Latin America. Fearful of the Cuban Communist spread in the continent, the USA fostered a programme of studies which encouraged many historians and political scientists to study Latin America. Good pay seduced some researchers to specialise in Brazilian studies; these researchers later came to be known as ‘Brazilianists’ (cf. Massi, 1990).

In this context, professor Thomas E. Skidmore chose to specialise in Brazil, and he was the first scholar to be called ‘Brazilianist’. This expression appeared for the first time in the preface of his first book and first translation to be published in Brazil, *Brasil: de Getúlio a Castelo (1930-1964)*. In 1974, Skidmore published his second book in the USA, which proposed a sociological interpretation of Brazil, *Black into White: Race and Nationality in Brazilian Thought* (BW). This book was then translated and published in Brazil in 1976 as *Preto no Branco: Raça e Nacionalidade no Pensamento Brasileiro* (PB). When Skidmore started BW, he first believed to be revisiting Brazilian representative figures from 1870 to 1930, but his readings led him through different paths. In the first preface to BW, Skidmore stated “only slowly did I realize that I was heading toward a detailed analysis of racial thought in Brazil” (Skidmore, 2005, p. xxi).

As Skidmore’s book became referential in racial studies both in the USA and in Brazil, it drew my attention to his representation of Brazil, which is based on miscegenation. There are divergent opinions about Skidmore’s work. In 1979, the Brazilian historian Janice Theodoro da Silva published an article in the journal *Encontros com a Civilização Brasileira*. In this article, she says she cannot understand

how PB was so warmly and widely accepted by Brazilian academy. Based on a supposed “scientific neutrality” (Silva, 1979, p. 211, my translation), similar to that employed by the Brazilian intellectual elite of late nineteenth and early twentieth centuries, Skidmore would provide basis for a racist thought. Conversely, the sociologist Carvalho (2007) states Skidmore was privileged to interpret Brazilian problems looking at Brazilian society from an external point of view.

To Skidmore, the most striking feature of Brazilian society was that of a middle category of a colour continuum (Skidmore, 2005, pp. 39-40): Brazil was not just white and black poles, but many nuances of colour along the cline between the two poles, hard to pin down. This ‘middle’ racial zone observed by Skidmore assigns specific epithets to the individual of colour in BW and in PB. The different naming for this middle zone of colour along the cline appears to present essentialist constructions in contrast with individualising ones used in the context of describing important figures of the Brazilian society, referred to as *mestiços*.

In this scenario, the present research stemmed from an interest in and curiosity about the different forms of representation in language used in the two texts to construe the *mestiço*, in the colour continuum along the cline between the poles ‘black’ and ‘white’. This interest and this curiosity were then translated into the objectives stated in the following subsection.

## 1.2 Objectives

The present study has two main objectives:

- (i) It intends to describe the representation of the Brazilian entity *mestiço* in the Textualisation (T) *Black into White: Race and Nationality in Brazilian Thought* (BW), and in its Re-Textualisation (RT) *Preto no Branco: Raça e Nacionalidade no Pensamento Brasileiro* (PB); and
- (ii) It intends to connect textual findings obtained from the description aforementioned with contextual motivations.

The rationale of the present study follows Munday's (2002) model for Translation Studies (TS). Impelled by the need of developing "a proper systematic descriptive branch" (p. 77) of TS, Munday suggests a four-phase interrelated analysis. This analysis comprises looking at the T and RT language systems, and at the T and RT cultural contexts. Munday's model is described in more detail in **2.2.4 The Four-Phase Interrelated Analysis: Munday (2002)**.

The general objectives are in turn translated into the more focused research questions presented below:

### **1.3 Research Questions (RQs)**

The present study proposes a linguistic investigation of Skidmore's interpretation in respect for racial relations in Brazil due to conflicting questions which revolve around Skidmore, the acceptance of the RT in Brazil, and the peculiarity of Brazilian colour continuum. Hereupon the following RQs inform the present study:

- (i) How are the *mestiços* construed in terms of processes in the ideational metafunction of language both in BW (T) and PB (RT)? Do ideational patterns arise in the two representations? If so, which?
- (ii) Is the cohesive chain of the T different from that of the RT?
- (iii) Do the T and RT reaffirm the racist thought of 1870-1930?

Having stated my RQs, now I turn to the theoretical discussions that frame the present study.

## CHAPTER TWO

### Theoretical Frameworks

One sign of immaturity [in a science] is the endless flow of terminology. The critical reader begins to wonder if some strange naming taboo attaches to the terms that a linguist uses, whereby when he dies they must be buried with him.

(Bolinger as cited in Crystal, 1997, p. v)

[O]f all uses that we make of language (which are limitless and changing), language is designed to fulfil three main *functions*: a function for relating experience, a function for creating interpersonal relationships, and a function for organizing information.

(Eggins, 2004, p. 111)

#### 2.1 Introductory Considerations

The rationale that informs the theoretical framework within which this research is carried out encompasses two vectors in respect to which the corpus can be looked at. These two vectors, though derived from different linguistic schools, converge on Translation Studies (TS). The first vector is the interface between Systemic Functional Linguistics (SFL) and TS, here referred to as Systemic Functional Translation Studies (SFTS) (refer to **CHAPTER ONE**, p. 1). The second vector is the interface between Corpus Linguistics (CL) and Translation Studies (TS), here referred to as Corpus-based Translation Studies (CTS). Along these lines, this section will discuss the state-of-the-art of the associations mentioned.

The systemic functional approach to language has inspired many works in Translation Studies. For a review of studies carried out at this interface during the nineties both nationally and internationally, see Vasconcellos and Pagano (2005, pp. 183-192). Work carried out in the two-thousands in the Brazilian context is concentrated mainly at UFSC and UFMG (cf. M. L. Vasconcellos, plenary session, 2 October, 2008). Those works appear to consolidate Systemic Functional Translation Studies as a research field.

The other interface informing this review is well documented in the Brazilian context in a special volume of *Cadernos de Tradução: Tradução e Corpora* (Tagnin (org.), 2002), though not particularly integrating SFL into the theoretical and methodological frameworks discussed. For the contribution of corpus-based studies to TS, see a brief review in Pagano and Vasconcellos (2005, pp. 193-196).

At Universidade Federal de Santa Catarina (UFSC) and Universidade Federal de Minas Gerais (UFMG), some works affiliated to TS, SFL and CTS have been developed since the 2000s. A brief review of those works is reported below:

- Morinaka's (2005) *Gabriela Cravo e Canela and its Retextualization into English: Representation through Lexical Relations* aims at analysing the way lexical relations establish textual cohesion in the construal of the protagonist Gabriela in the small-scale parallel fictional corpus composed of the T *Gabriela, Cravo e Canela* by Jorge Amado (1958), and of the RT *Gabriela, Clove and Cinnamon*, translated by James Taylor and William Grossman (1962). Quantitative results indicate that both T and RT make use of synonymic and meronymic relations to represent the protagonist, yet qualitative analysis shows that the RT tended to alter some meronymic relations so as to avoid some sensual and sexual connotations of the character;
- Paquilin's (2005) *The Various Facets of a Message: an Analysis of the Thematic Structure in Bridget Jones's Diary in the light of the SFG, CL and TS interface* proposes to analyse the translator's thematic choices bearing in mind grammatical, lexical and cultural restrictions in the small-scale parallel fictional corpus composed of the T *Bridget Jones's Diary* (1996) and of the RT *O Diário de Bridget Jones* (1999). Results reveal analogous forms of Thematic structures in the RT as compared to the T. Some differences in marked/ unmarked Thematic structures are due to the cohesive system of the Brazilian Portuguese language system;
- Fleuri's (2006) *O Perfil Ideacional dos Itens Lexicais Tradutor/Tradutor em Translator Thought History* proposes to analyse the ideational profile of the lexical items tradutor/ translator in the small-scale parallel academic corpus *Translators through History* and *Os Tradutores na História* in order to verify possible new construals in the RT. Yet quantitative results show that both T and RT pursue similar transitivity patterns, some new construals reveal that the T tends to represent the *translator* as Carrier, whereas the RT tends to represent the *tradutor* as Actor, thus providing a more active representation of the *tradutor*;
- Souza's (2006) *Aplicação do Modelo de Linguagem Avaliativa à Tradução: Análise de um Texto Seminal da Filosofia do Software Livre* intends to describe and compare the use of evaluative language in a small-scale parallel

argumentative corpus by means of the Appraisal Framework encompassing the systems of Evaluation, Involvement and Negotiation, and Ideational and Textual Semantics. Results show the T's personal/ rhetorical investment is lower than the RT's;

- Zuniga's (2006) *Construeing the Translator in "Becoming a translator" and "Construindo o tradutor": a Case Study based on Corpus and Systemic Linguistics* aims at verifying how the entity *translator/ tradutor* is construed in the small-scale parallel academic corpus composed of the T *Becoming a Translator* (1997) and of the RT *Construindo o Tradutor* (2002). Results show the RT's transitivity pattern is similar to the T's, although there are slight different construals;
- Filgueiras's (2007) *Capoeira em Tradução: Representações Discursivas em um Corpus Paralelo Bilíngüe* proposes to pinpoint discourse representations on capoeira in the small-scale parallel guide-book corpus composed of the T *Pequeno Manual do Jogador* (2002), and of the RT *The Little Capoeira Book* (2003) by means of the semantic prosody profile of the lexical items *capoeir\**, *malícia*, *mandinga* and *malandr\**. Results reveal that differences in collocations alter the semantic prosody profile of those lexical items in the RT; and
- Pires's (2006) *The ideational profile of Bishop in Flores Raras e Banalíssimas and Rare and Commonplace Flowers: a Corpus-based Translation Study* intends to verify the ideational patterns that represent the North-American poet Elizabeth Bishop in the small-scale parallel fictional corpus composed of the T *Flores Raras e Banalíssimas* (1995) and of the RT *Rare and Commonplace* (2002). Results indicate new constructions in the ideational profile of Bishop in the RT.

Mauri (2009), in the doctoral dissertation *Uma Análise do Ponto de Vista em A Hora da Estrela e Laços de Família, de Clarice Lispector, e nas Traduções Italianas Lóira Della Stella e Legami Familiari*, documents works that have been developed at UFMG. Based on the author's report (ibid, pp. 35-36), I spell out the following works affiliated to TS, SFL, and CTS:

- Cruz's (2003) *Harry Potter and the Chamber of Secrets e sua Tradução para o Português do Brasil: Uma Análise dos Verbos de Elocução, com base na Lingüística Sistêmica e nos Estudos de Corpora* proposes to analyse elocutionary verbs in the small-scale parallel fictional corpus composed of *Harry Potter and the Chamber of Secrets* and of its RT into Brazilian Portuguese. Results indicate that: the T, as compared to the RT, presents predominance of the neutral verb 'say', higher incidence of use of behavioural processes to indicate elocution and to highlight animalising aspects of some characters; and the RT, as compared to the T, presents wider variety of elocutionary verbs and of mental processes that indicate elocution;

- Mauri's (2003) *Um Estudo da Tradução Italiana de "Laços de Família", de Clarice Lispector, a Partir da Abordagem em "Corpora": A Construção da Introspecção Feminina Através dos Verbos de Elocução* investigates elocutionary verbs in the small-scale parallel fictional corpus composed of the T *Laços de Família* (a collection of short stories) and its translations into Italian focusing on verbs that indicate mental processes of female characters. Results indicate that some new language constructions in the RT contribute to a change in the representation of the introspection of female characters;
- Assis's (2004) *A Transitividade na Representação de Sethe no Corpus Paralelo Beloved-Amada* analyses the transitivity system the small-scale parallel fictional corpus *Beloved-Amada* so as to verify instances in which the protagonist is realised as a participant. Results reveal that the RT construes the protagonist by means of different process patterns;
- Jesus's (2004) *Representação do Discurso e Tradução: Padrões de Textualização em Corpora Paralelo e Comparável* investigates the prototypical mental processes 'think'/'pensar' and the logical-semantic system of projection in the small-scale comparable fictional corpus composed of the T *Point Counter Point* (textualised by Aldous Huxley), of the RT *Contraponto* (translated by Érico Veríssimo), and of *Caminhos Cruzados* (textualised by Veríssimo). Results indicate different linguistic patterns in T and RT, and different uses of the verb 'pensar' by Veríssimo when textualising as a translator and as the original writer;
- Cançado's (2005) *Transitividade e Representação do Discurso no Corpus Paralelo "Interview with the Vampire"/ "Entrevista com o Vampiro"* analyses discourse presentation by means of the introductory elocutionary verbs used in the representation of the interviewer compared to those used in the representation of the interviewee in the small-scale parallel fictional corpus composed of the T *Interview with the Vampire* and of the RT *Entrevista com o Vampiro*. Results show that the RT presents more prominent aspects of the genre interview in comparison to the T;
- Alves's (2006) *Aspectos da Representação do Discurso em Textos Traduzidos: Os Verbos de Elocução Neutros* investigates paratactic quotations in the small-scale parallel fictional corpus composed of *The Adventures of Huckleberry Finn* and its translations into Brazilian Portuguese so as to verify the tendency of the non-translation of verbal processes in the RTs. Results confirm this tendency, and also reveal a higher diversification of processes in one of the RTs;
- Jesus's (2008) *Relações de Tradução: say/ dizer em Corpora de Textos Ficcionalis* describes the functions of verbal clauses realised by 'say'/'dizer' in non-translated fictional texts, and compare translations of 'say'/'dizer' in a parallel corpus. Results reveal that 'say'/'dizer' realise experiential and interpersonal functions in different patterns when contrasting English and Portuguese.

This Thesis reports research carried along similar lines, contributing new insights and data to the now established tradition in the Brazilian context. Having established the affiliation of the work, I turn now to the theoretical apparatus framing my research.

## **2.2 The Ground of the Present Study: Translation Studies**

In this subsection, I give account of the theories and concepts with which the present study is affiliated.

### **2.2.1 Textualisation and Re-Textualisation**

It is important to define the terms used to refer to translation in this present study. From the title, the traditional concept of source text is referred to here as Textualisation (T), and the traditional concept of target text as Re-Textualisation (RT). These terms have been chosen due to the functional linguistic approach employed in the present study, following Coulthard (1987).

In 1987, Coulthard made a first attempt at defining text as T and translated text as RT. The author proposed an evaluative text analysis as a new area of investigation in order to improve text writing. At that time, the author was interested in looking at a text as one among various possible textualisations of ideational and interpersonal material. That is to say, a certain version of text chosen for publishing is nothing more than one of its versions, which could always have been differently realised by means of different processes and participants and textual components. In other words, Coulthard (1987) emphasised the paradigmatic orientation of SFL in his discussion of evaluative text analysis. The author goes further in stating that texts are defined according to their



audience, that is, the implied readership, and, on the other hand, texts define their readership according to content and tone.

Later in 1992, Coulthard demonstrates and explains the linguistic constraints of translation. The author opens his paper with a discussion of communication as composed by an addressee and one or more receivers, a perspective which can be applied both to spoken and written texts. The discussion is extended from intralinguistic communicative situations to interlinguistic ones. However, I will highlight only aspects that are relevant for this review of the literature.

In re-elaborating his 1987 article, Coulthard (1992, p. 9) goes on to explore the same view in the context of translation, which he calls a new *textualisation*, Coulthard says that a writer writes with an “ideal reader” in mind “to whom he attributes knowledge of certain facts, memory of certain parts of certain other texts, plus certain opinions, preferences and prejudices and a certain level of linguistic competence.” Consequently, a new textualisation – or *re-textualisation* – will be realised differently in accordance with the new scenario. However, as he states, real readers stand on a cline for which Coulthard uses the analogy of a listener and an overhearer. The listener would be the one to whom the message is directly addressed, and the overhearer would be the one who ‘listens in’ to the conversation. Bearing this implied readership in mind, which echoes the 1987 article, a writer (in the status now of a translator) shapes the way s/he chooses to convey ideas according to a potential new audience in the target context.

Coulthard (1992) defines the translator as “anyone who takes an existing text which is inaccessible to a given group of potentially interested readers and attempts to produce a new text which will be accessible for them” (p. 11). The translator plays both the role of a reader and of a re-writer: s/he reconstructs the printed marks constructed by the original writer, transforms them into his own lexicogrammar, and re-writes in a

different linguistic code. This overall process is denominated Re-Textualisation (RT).

Likewise the original writer, the translator also pictures an ideal readership within a specific cultural-linguistic community. Interestingly at times the translator's ideal readership may have more background knowledge on the subject than the original writer's ideal readership (which counterbalances the translator's inherent need of explaining the source culture to the target audience – see “Explicitation” in Baker, 2001, p. 289). I hypothesise that this is the case of the RT of BW into Brazilian Portuguese due to the fact that the T is *about* a subject that concerns directly the history of the translator's ideal readership: the construction of Brazilian intellectual community in Brazil (this issue will be commented upon in subsection **2.2.3**).

Costa<sup>4</sup> (1992), following Coulthard (1987, 1992), also explores the notion of original texts as Textualisations and translated texts as Re-Textualisations (even though he confusingly uses the term “textualisation” for both original texts and translated ones). Echoing Coulthard, Costa (op. cit.) reminds his readers that texts relate to each other, so that they are never isolated, being always influenced by, at least, the writer's memories of previous readings. Therefore, writing is a dependent process of constant construction and reconstruction, whose product is a Textualisation. Translating would be a special rewriting process which relates directly to one specific text. That is to say translations have a very high degree of relatability to their respective source texts. In unfolding this matter, Costa establishes two planes for a translation: the dependent plane and the autonomous one. The first refers to looking at a text as a translation and verifying its relationship with its source text in terms of the different language systems in question. The latter refers to looking at a text in its own right, verifying its quality as a text. In this

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<sup>4</sup> It is important to highlight that Coulthard (1987, 1992) and Costa (1992) discuss *textualisation* in the light of the Argentinean writer and translator Borges's (1932) discussion on the many versions of Homer's classical writings (Available at <http://www.2enero.com/textos/borghom.htm>. Retrieved on 13 December, 2008.)

vein, the author comes to stating “a no less crucial aspect of the translation process”, which is “the construction of the new text” (p. 134), thus here denominated Re-Textualisation.

To round off this subsection, I dedicate a few words to propose a working definition of T and RT for the purposes of the present research. **T** is the product derived from the process of constructing a text. This process is dynamic and changeable because it is influenced by previous readings as well as by an implied readership. In turn, **Re-Textualisation** (RT) is the product derived from the process of constructing **interlinguistically** a new text which relates **directly** to one previous text. Similarly to the T's, this process is dynamic and changeable, but it relies on an implied readership different from that of the T. In this way, RTs are new textual creations with a high degree of relatability to their previous texts.

In pursuing this discussion further, now I turn to different cultural perspectives.

### **2.2.2 Cultural Perspectives: Translating One's Own Culture**

As previously stated, BW (1974) was textualised by the North-American professor Skidmore. This book deals with the formation of Brazilian society and racial thought from late nineteenth to early twentieth centuries. Two years later, the book was re-textualised in Brazilian Portuguese as PB (1976) by the Brazilian diplomat Barbosa. Intriguingly the first translation was not Barbosa's but Skidmore's, as he ventured into describing the thoughts and development of a cultural and linguistic community alien to his. Barbosa's was then the second translation re-textualising ideas conceived by a foreign voice back to his own culture. The object of the present study is, thus, a double representation of the Brazilian alleged scenario, as it re-textualises a representation made by foreign eyes and voice – which makes the material doubly complex.

Etges's (2000) case study is similar to this Thesis in terms of the relation between T and RT. The author analyses travel narratives which she considers interesting to Translation Studies because the "translator is faced with the daunting task of, as it were, *translating the translated*" (p. 2). Etges also says that 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" (p. 2). As aforementioned, this perspective is briefly observed by Coulthard (1992) (refer to previous subsection) claiming that, at times, the target audience may have more background knowledge than the source audience.

### **2.2.3 The Location of the Present Study on the TS Map: A Descriptive Approach**

Holmes (1988) put forward the first mapping of the field of Translation Studies, suggesting a possible organisation of TS as an established academic field. In this foundational statement, though not explicitly proposed by Holmes, one can envisage some research areas which were not yet in practice at the author's time. His article addresses issues related to confusion in methodology, types of models, terminology, and also the very name of the discipline itself.

As his discussion develops, he signals two main fields of research: "pure research", which deals with discussing and reviewing theories, and "descriptive research", which deals with describing "the phenomena of translating and translation(s) as they manifest themselves in the world of our experience" as well as with establishing "general principles by means of which these phenomena can be explained and predicted." (Holmes, 1988, p. 71). As the present study is mainly concerned with describing the phenomenon of translation, I will focus my attention on explaining this

particular field, though I do not subscribe to all of implications deriving from an affiliation to DTS, mainly as practiced by Toury (1980, 1995) from the eighties on<sup>5</sup>.

Holmes's Descriptive Translation Studies (DTS)<sup>6</sup> is then divided in three main areas: *product-oriented*; *function-oriented*; and *process-oriented*. A *product-oriented* DTS approach focuses on the analysis of text, and may also encompass a “comparative text description” by means of analysing several translations of the same text. Besides *function-oriented* DTS focuses on describing the function of a translation “in the recipient sociocultural situation: it is a study of contexts rather than texts.” Thus this type of approach is concerned with looking at potential aspects that have influenced the production of a certain translation. The third approach, *process-oriented* DTS focuses on the description of complex mental processes involved when translating. To sum up this explanation, it may be said that the two first approaches are interested in translation(s) (text and context-wise) and the latter in translating.

Thereupon the present study is product-oriented since its main concern is describing a specific translation (or re-textualisation) and its similarities and differences when contrasted with its source text (or textualisation). Though not explicitly inserted in the function-oriented approach, the present study also invests some of its energy on the context of production of texts (i.e. the “socio-cultural aspects” (p. 74) to use Holmes's terms). In this way, it can be said the present study attempts to be function-oriented by means of relating textual findings to context. Hence both textual and contextual descriptions constitute the object of the present study; the first being the primary approach of this work, and the second being a secondary one.

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<sup>5</sup> The present study is not directly affiliated with the methods proper of DTS based on Toury (1980, 1995). The only possible relation would be that the present study adopts a *descriptive* approach – in contrast with an *evaluative* one – of translated or re-textualised texts.

<sup>6</sup> For further discussion on DTS, refer to Toury (1995) who has greatly developed more elaborate concepts for the area. As Toury's concepts on rules and norms do not belong to the scope of the present study, they are not discussed here.

The next subsection discusses the model which has inspired the adoption of these approaches.

#### **2.2.4 The Four-Phase Interrelated Analysis: Munday (2002)**

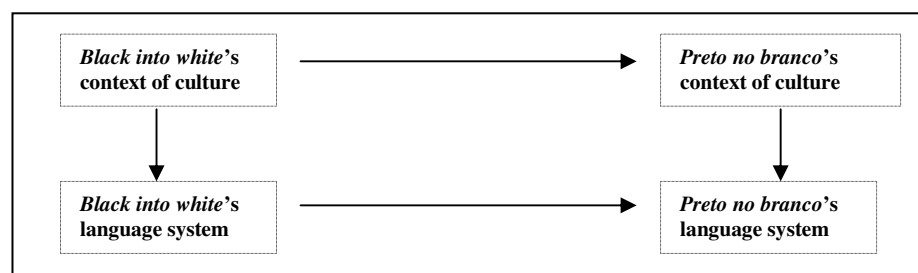
The present study framework is based upon Munday's (2002) model for Translation Studies (TS). Impelled by the need for developing "a proper systematic descriptive branch" (p. 77) to TS, Munday suggests a four-phase interrelated analysis. In doing so, Munday responds to Holmes's (1988) suggestion for a research area and expands Toury's (1995) three-phase methodology adding a fourth analytical phase. On the one hand, according to Munday (2002, p.78), Toury strived at developing an objective research model in which he suggests situating the target text in its sociocultural context and then 'mapping' coupled pairs in source and target texts. On the other hand, Munday argues "the ST [source text] obviously operates in its own sociocultural context, and that too will influence both whether it is selected for translation by the TT [target text] culture and also the way it is translated" (p. 78) wherefore he adds a fourth phase: situating the source text in its sociocultural context.

Pursuing this matter further, Munday's analysis comprises looking at the T and RT cultural systems and at the T and RT linguistic profiles in order to observe linguistic shifts and potential impacts on respective cultural systems. For the purpose of the present study, I would rather use Halliday's term "cultural context" instead of Munday's "cultural system". The lexeme "system" brings to mind the Hallidayean (see subsection 2.3) idea of language as a system. Hence, in order to avoid misunderstandings, "context of culture"<sup>7</sup> is a substitute for "cultural system", and "language system" is a substitute for Munday's "linguistic profile".

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<sup>7</sup> I would like to point out Toury (1995, p. 66) uses the expression "cultural constellation" to refer to the context in which a text is produced. The idea of a constellation is shared by the Translation Studies

In his article, not so explicitly, Munday suggests that some realisations may be systemic and/ or instantial. To say that some realisations may be more systemic is to attribute realisations in the RT as a result of the differences in the linguistic system of the language pair involved. On the other hand, to say that some may be more instantial, it is to interpret different realisations as a result of other motivations, ranging from the translator’s style to social and political reasons. To make the model clearer, **Figure 1.1** shows the application of Munday’s model to the present study:



**Figure 1.1 – Sketch of the Four-Phase Interrelated Analysis**

Munday suggests looking at the language systems of both T and RT in terms of their realisation of the three Hallidayean metafunctions: the ideational, the interpersonal and the textual. After describing the patterns emerging from the analysis, the author suggests analysing the conditions which might have given rise to them, and then connecting those findings to contextual factors.

Although Munday’s concern is clearly stated in his article as proposing a systematic and objective model, Munday falls short of fulfilling his objectives when it comes to analysing the cultural context: the analyses of T and RT language systems are indeed systematic, but the author does not put forward any method for addressing or describing the cultural circumstances, inherent in the cultural contexts. Variables in the

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scholar Aixelá (1992) and the anthropologist Peirano (2001). Peirano uses the term ‘cosmology’ to refer to a community partaking of the same cultural values, and she develops this idea stating “uma determinada cosmologia tem explicações em si mesma” (p. 26). In other words, one may consider something right or wrong, good or bad, adequate or inadequate, and so forth, according to one’s own cultural parameters. That corroborates Halliday’s (1970, p. 141) affirmation that “[the] nature of language is closely related to (...) the function it has to serve.”

cultural context may become way too vast, and they had to be narrowed down due to the scope of the current analysis. For this reason, one critique provides basis for the cultural context analysis: Silva (1979). Further explanation on the application of the model is supplied in **Method (CHAPTER THREE)** of this thesis.

The following subsection provides explanation on the theories and tools for the analysis of the language systems of the present study: Systemic Functional Linguistics (SFL).

### **2.3 The Challenge of Language Description: Systemic Functional Linguistics**

Back in 1964, Halliday pointed out the importance of looking at translation from the perspective of contextual meanings, instead of mainly structural ones. Influenced by anthropological works, more specifically Malinowski's (1923, 1935, as cited in Halliday, 1979), M. A. K. Halliday puts forward the systemic functional theory of language which came to be known as Systemic Functional Linguistics (SFL). Malinowski's greatest contribution to Linguistics was the view that language should be interpreted contextually-based rather than isolated from its context of production.

Halliday explains the notion of "text" in the context of SFL. In the introduction of *An Introduction to Functional Grammar*, Halliday (2004, p. 3) states that text is "any instance of language, in any medium, that makes sense to someone who knows the language", and that is "a many-faceted phenomenon that 'means' in many different ways". In other words, a text has a target audience, and inevitably this text affects its audience, as well as the audience influences the text by means of interpretation. This configuration is described as the **Context of Situation**, in which texts are produced and consumed.



McArthur (1992, p. 460) describes Halliday's theory as

an orientation towards applications. [...] The approach emphasizes the functions of language in use, particularly the ways in which social setting, mode of expression and register influence selections from a language's *systems*: Meaning is a product of the relationship between the system and its environment.

Halliday combines lexicon and syntax under the heading 'lexicogrammar'. The realisation of the metafunctions of language constructs meaning. Those metafunctions are, metaphorically, as the instruments of an orchestra which, together, arrange a symphony (cf. Halliday, 1978; Malmkjaer, 2005). By means of choices<sup>8</sup> from among the meaning potential available in one's language system, one expresses him/herself and models/constructs realities.

Much questioning revolves around the determination of the basic unit of encoding. Coulthard (1992, p. 12) problematizes this matter in saying,

It is still debatable which is the basic unit of encoding, clause or sentence, but it is here that the writer confronts the problem of expressing his meaning in lexicogrammatical form, that is of choosing the grammatical structures and individual words which best represent his intention.

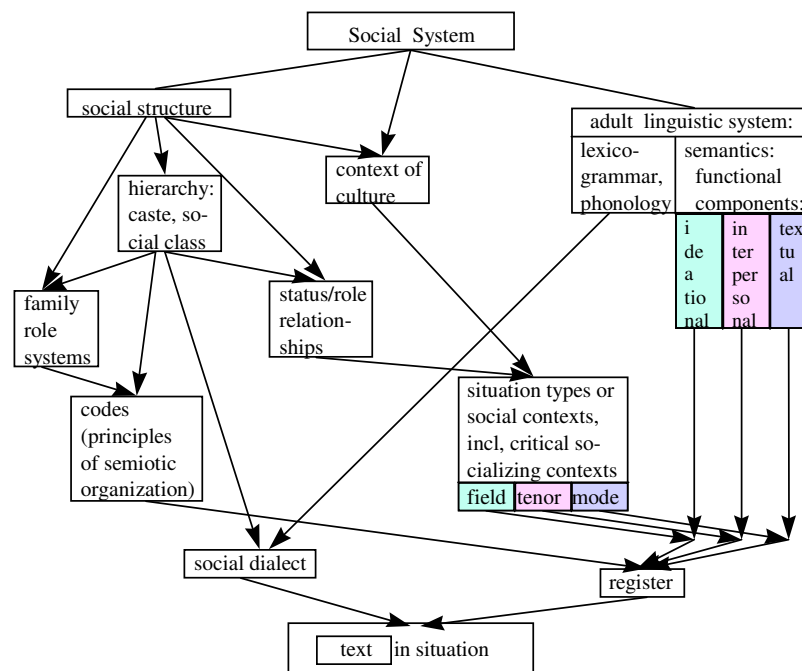
Coulthard's "here" does not specify whether clause or sentence would be the basic unit of encoding, but perhaps both; clause or sentence may be potential sources or analysis. Vasconcellos (1997) justifies the election of clause-level by the fact that clause is "the basic unit" of Functional Grammar. As Malmkjaer (2005, p. 168) points out, this unit, the clause, is understood as "the locus for action", orchestrated by three systems aforementioned: Mood (interpersonal metafunction), Transitivity (ideational metafunction), and Theme and Rheme (textual metafunction). These three systems operate altogether in the composition of language. The present study looks specifically

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<sup>8</sup> In defining *choice* in SFL, Kress (1995) states "One [factor], which is central to Systemic-Functional Linguistics, is the characterization of meaning as choice from sets of systems in specific contexts. This makes all linguistic form the effect of (deliberate) choice, and therefore also makes all form at once meaningful as the result of choice." (p. 116). Halliday (1978) stated "These components [interpersonal, ideational and textual] are reflected in the lexicogrammatical system in the form of discrete networks of options." The lexeme *options* is interchangeable with *choices* in Halliday (1978). Halliday establishes three sets of choices in SFL, which are the three metafunctions.

at the transitivity system, which realises the ideational metafunction, the one that “facilitates representation of interpretations of both fictional and actual reality” (p. 177). However, it is important to state here that this investigation demanded an expansion towards a description of the cohesive chain so as to verify the entity *mestiço* and its co-related lexemes, which contribute to the representation of the *mestiço* (refer to sections: 2.3.2, where I spell out the concept of Lexical Cohesion in relation to my investigation; 3.2.1, where I sign the need for investigating nodes; and 3.4.1, where I report the some of the criteria for the selection of nodes).

To Halliday (1979), each stratum of language, in a continuum, plays its role in the realisation of meaning. Refer to **Figure 1.2** below for a portrayal of how contexts influence language and vice-versa:



**Figure 1.2 - Halliday's Schematic Representation of Language as Social Semiotic (1979, p. 69)**

This figure stands for “the total sociosemiotic cycle of language” (Vasconcellos, 1997, p. 31), and depicts the relation of text and its various levels of meaning. ‘Social dialect’

and ‘register’ operate on the selection of meaning depending on situation types. Based on that, Halliday believes language is a social-oriented phenomenon:

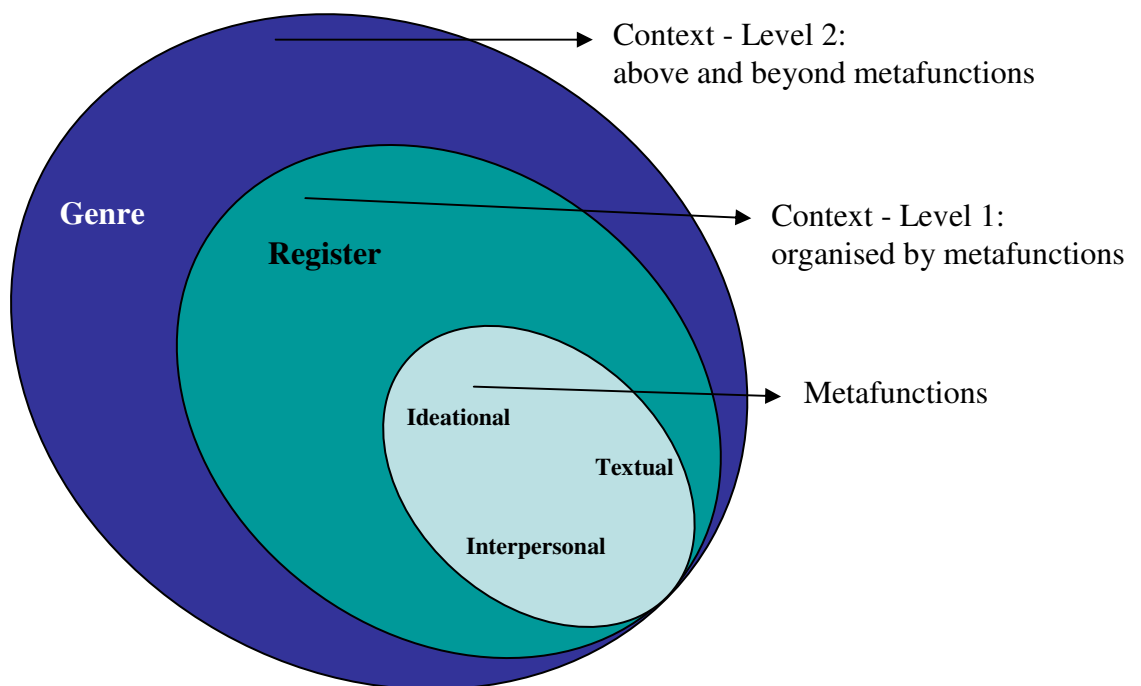
The internal organization of natural language can best be explained in the light of the social functions which language has evolved to serve. Language is as it is because of what it has to do (Halliday, 1973 as cited in Eggins, 2004, p. 112).

In designing the internal organization of language, Halliday developed the *metafunctional hypothesis*, which describes language functions as “*abstract; (...) incorporated into the linguistic system*” (Halliday, 1979, p. 50). Being so, language is construed by three metafunctions: interpersonal (which describes the relation between people involved in the communicative event); ideational (which describes the content of the message and the representations people make of external and internal world); and textual (which describes how a text is organised, or the textual texture).

The present study focuses on the analysis ideational metafunction of language and the cohesion chain, which is part of the texture of language. Halliday divided the ideational metafunction in two subparts: logical and experiential (1979, p. 112). In broad terms, the experiential component is realised by Transitivity (blue boxes above), which construes the world of experience by means of types of processes (verbal groups) (Halliday & Matthiessen, 2004, p. 170). The logical component refers to logical relations established among clauses and clause complexes. Due to methodological decisions, the logical component is not part of the present investigation.

According to Simpson (1993, p. 88), the transitivity model “shows how speakers encode in language their mental picture of reality and how they account for their experience of the world around them.” In a broader sense, transitivity reveals the linguist “how meaning is represented in the clause.” As regards the present research, this may be useful to spot instances of representations of the entity *mestiço* both in T and in the RT.

In the present study, I subscribe to the distinction between two controversial concepts – register and genre – adopted by Eggins and Martin (1997). The authors establish two levels of context in which texts are realised. To them, level 1 is register and level 2 is genre, and the study of these levels may shed light on understanding how texts “serve divergent interests in discursive construction of social life” (p. 251). **Figure 1.3** below portrays this idea:



**Figure 1.3 - Levels of Context (Eggins & Martin (1997), p. 243 - adapted)**

As regards level 1 of context, or register, Buttler (1985) comments that Halliday’s theory predicts the relationship between social context and linguistic choices. These linguistic choices occur within “the contextual parameters of field, tenor and mode”, constituents of social context, which “activate choices in the interpersonal, the ideational, and the textual functional components of the semantic stratum of the linguistic system.” Thus it may be insightful to use Halliday’s theory to correlate “features of the social context and of linguistic output in such contexts” (p. 221).

Level 2 of context seems to be suitable to connect the textual findings to contextual aspects of the present study: **whether** and **how** BW and PB are different in terms of racial representations (more specifically, the representations of the entity *mestiço*, and nuances of colour, as expressed in *non-white*, *mulatto*). Moreover, Level 2 may be useful in the examination of which possible contextual motivations might have triggered these differences/similarities in terms of representation. Further discussion on register and genre is beyond the scope of the present study.

The following subsections provide more detailed explanation on SFL's analytical tools applied in the present study: the experiential component and cohesive chain.

### 2.3.1 The Experiential Component of Language

In order to explain the experiential component of language, Halliday and Matthiessen (2004) and some of his followers (Martin (1992); Thompson (2004); Eggins (2004); Bloor & Bloor (2004)) will be drawn upon.

Thompson (2004) dedicates his fifth chapter ("Representing the world: the experiential metafunction", pp. 86-140) to describe how the experiential metafunction works and which are its corresponding elements. Generally speaking, the major functional labels for this metafunction are **processes**, **participants** and **circumstances**. Thompson (ibid.) says **processes** are the "core" of the clause, they are elements which are primarily about the event or state and are typically realised by the **verbal group**. Whereas the interpersonal metafunction focuses on the finite (auxiliary verbs and modals), the experiential metafunction focuses on the **main verb**, or the **Event** which corresponds to the predicator in the interpersonal metafunction. **Participants**, in their turn, are normally realised by **nominal groups**, and **circumstances** are realised by

**adverbial groups** or **prepositional phrases**, which provide background information to the clause. Depending on the process, they may be more or less obligatory to the experiential meaning. In this way, the **process-participants-circumstance model** is based on grammatical and semantic categories (p. 87).

In order to understand experiential meanings of language, it is necessary to understand the **transitivity system**. Thompson (2004, p. 89) defines it as “a system for describing the whole clause, rather than just the verb and its Object.” Similarly to the traditional study of language, **transitivity** is focused on the verbal group, the process. Thus, the type of process determines the way participants are interpreted. SFL has established six categories for processes, which, according to Thompson, are “a combination of common sense and grammar” (p. 89). It is important to highlight that, in SFL, categories are “only some of the possibilities” (p. 91), and that there is no definite map for looking at language. Categories are theorised and applied as long as they suit the purposes of language analysis. SFL’s types of processes are: **material, mental, relational, verbal, behavioural** and **existential**.

### **2.3.1.1 Material Processes and Participants**

To start, in broad terms, **material processes** refer to physical actions, and, in this case, the verb is pretty well defined as “a doing word” (Thompson, 2004, p. 90). Halliday and Matthiessen (2004) suggest two main types of material processes: creative and transformative. The former signals the “coming into existence” (ibid, p. 184) of a participant, either an Actor or a Goal, thus it does not alter reality nor affects other entity. Differently, the latter signals “the change of some aspect of an already existing Actor or Goal” (ibid, p. 185), thus transformative material processes alter an entity or itself in the external world.

Material processes can be described as actions in which participants (**Actors**) do something or affect another participant (**Goal**) with its/his/her 'doing'. Material processes may also have **oblique** participants which appear in a prepositional phrase. These are Beneficiary participants, divided into two types: **Recipient** and **Client**. The Recipient is accompanied by the preposition 'to' and the Client is accompanied by the preposition 'for'. There is also a fifth participant for material processes which is Range. It appears in all other processes, except for existential ones, and, in terms of material processes, it is labelled as **Scope**. In defining Scope, Thompson says that Scopes represent extensions, and that it is an Object that "is more like a Circumstantial element (i.e. specifying an aspect of the process, like an adverbial) disguised as a participant." (p. 107). It is the label applied at "a nominal group which works together with the verb to express the process." (ibid.). Halliday and Matthiessen (2004, p. 192) do not consider it an entity because it is not affected by the performance of the process, rather it "construes the domain over which the process takes place" (e.g. *to climb a mountain*, in which **mountain** is the domain), or it "construes the process itself" (e.g. "to have **a shower**", in which "a shower" is not actually being affected by the process, but it is constituting the process itself). The examples below were extracted from the corpus:

No special provisions have been made or even considered	for giving	non-whites	the benefit of "affirmative action" programs (...).
Participant: Actor	Process: Material	Participant: Recipient	Participant: Goal
	Embedded clause		
the local Republican party	simply furnished	a new stage	for the struggle between rival (...).
Participant: Actor	Process: Material	Participant: Goal	Participant: Client

**Table 1.1 – Examples of Material Processes and Participants extracted from T**

The following subsection explains the nature of **mental processes** and participants.

### 2.3.1.2 Mental Processes and Participants

Second **mental processes** realise what is going on “in the internal world of the mind” (Thompson, 2004, p. 92), and thus it should be clear to differentiate material (realisations of the external world) from mental processes. The participant that undergoes mental processes is the **Senser**, and the one that triggers it is the **Phenomenon**. The Senser usually is a human participant, but if inanimate, it acquires “a degree of humanness” (p. 93). Mental processes could be split in four more delicate categories: emotion, which has to do with reacting and feeling; cognition, which has to do with deciding, knowing and understanding; perception, which has to do with seeing, hearing, and so on; and desideration, which has to do with wanting. In this thesis, any processes related to the aforementioned categories are simply identified as ‘mental’. Similarly to material clauses, mental clauses also have a participant that may be labelled **Range**, even though Thompson does not provide much detail on this matter.

It is important to remember that, differently from material clauses, mental ones can **project**. Thompson recommends differentiating Phenomenon from projected clauses by looking at its subcategories. On the one hand, perception and emotion realise existing phenomena (i.e. facts); on the other hand, cognition and desideration bring ideas into existence. In this way, cognition and desideration may project separate clauses, whereas, perception and emotion may not. In this way, participants of mental processes are either **Senser**, **Phenomenon**, or **Range**.

The following Table exemplifies mental process and participants:

[A] mulatto (...)	felt	insecure enough
Participant: Senser	Process: mental	Participant: Phenomenon

**Table 1.2 – Example of Mental Process and Participants extracted from T**

The following subsection explains the nature of **relational processes** and participants.



### 2.3.1.3 Relational Processes and Participants

**Relational processes** establish a relationship between two concepts. Predicators simply signal this relationship, verbs do not stand for ‘goings-on’, and Participants do not really perform anything (cf. Thompson, 2004). Eggins (2004, p. 239) says that “Relational clauses cover the many different ways in which *being* can be expressed in English clauses.” **Relational processes** are typically realised by the verb *be* and related ones, such as *seem*, *become*, and *appear*, and, at times, relational processes may be realised by *have*, *own*, *possess* (cf. Bloor & Bloor (2004, p. 120).

**Relational processes** may be identified as **Attributive** and **Identifying**. First, the participants of **Attributive clauses** are the **Carrier** and the **Attribute**. In this case, the Carrier, always realised by a nominal group, is the entity which ‘carries’ or ‘receives’ an Attribute, which is “a quality, classification or descriptive epithet” (Eggins, 2004, p. 239). Eggins draws subdivisions to Attributive clauses which can be verified in terms of probe statements. For example, Attributive intensive clauses can be defined as ‘x is a member of the class a’ (p. 240), in which the Attribute is also realised by a nominal group, and typically introduced by an indefinite pronoun (*alan*). In Descriptive attributive intensive clauses, ‘x carries the attribute a’, and the Attribute is typically realised by an adjective. These clauses are not reversible, and thus they do not accept passive forms.

The second subcategory for relational clauses is **Identifying**, which identifies one entity in terms of the other. Thompson says that “identification is a matter of relating a specific realization and a more generalizable category” (p. 97). Eggins (2004) mentions that, semantically, Identifying clauses define (‘x serves to define the identity of y’, p. 241). Grammatically, it is realised by **Token** and **Value** as participants, which

are both nominal groups. According to Eggins, both participants in Identifying clauses are autonomous, thus this type of clause is reversible.

Neither Bloor and Bloor (2004) nor Eggins (2004) speak of the participants **Identified** and **Identifier**. Thompson (2004, p. 117) says that relational clauses may refer to participants which are already ‘on the table’: those are **Identified** ones. When talking about something new, that participant is the **Identifier**. These are also Identifying clauses, and participants may be order as Identified^Identifier<sup>9</sup>, which is an unmarked order, or Identifier^Identified. Basically the most important clue of which is which comes from context; the Identified participant represents an entity already referred to in the text, whereas the Identifier is a recent introduced entity. In this thesis, Identified and Identifier are seen as characteristics of Token and Value (which can either be one or the other). Since Identified and Identifier can be either Token or Value, they are represented in the corpus by multiple labels (see **3.3.3 Annotation of data – SFL’s categories** in chapter **3 METHOD**).

To illustrate relational processes, the following excerpt was extracted from the T:

probably only about 10-15 per cent of the total population	being	free colored
Participant: Carrier	Process: Relational/Attributive	Participant: Attribute
Skin color, hair texture, facial, and other visible physical characteristics	were	the determinants of the racial category into which a person would be placed by those he met.
Participant: Identified/Token	Process: Relational/Identifying	Participant: Identifier/ Value

**Table 1.3 - Examples of Relational Processes and Participants extracted from T**

In the first clause, which is attributive, the verb *was* could be substituted for *became* or *turned*, as Eggins (2004, p. 240) suggests, and the order of the participants cannot be

<sup>9</sup> The “^” sign means “followed by” (Thompson, 2004, p. 117).

inverted, otherwise, their roles would change. In the second clause, an inversion would not alter the roles of participants.

The following subsection explains the nature of **verbal** processes and participants.

### 2.3.1.4 Verbal Processes and Participants

The last three processes are intermediate zones among the main three processes presented above. A **verbal process** would be a type of reality construction lying between relational and mental processes. In other words, **verbal processes** link entities, setting forth their relational status as well as depict the internal world of participants. In corroborating this explanation, Thompson (2004) argues that *say* is a physical action which reflects mental operations. Participants of **verbal processes** are the **Sayer**, that who utters the message; the **Receiver**, to whom the message is directed; the **Target**, to what the message is directed; the **Verbiage**, which is the message when uttered indirectly, or **Locution**, when uttered directly. The example below, also from the corpus under investigation, illustrates this process and three of its Participants:

an editorial	alleged	discrimination	against both blacks and mulattoes in the recruitment of the Guarda Cívica, or state militia, of São Paulo.
Participant: Sayer	Process: Verbal	Participant: Verbiage	Participant: Target

Table 1.4 - Example of Verbal Process and Participants extracted from T

The following subsection explains **behavioural processes**.

### 2.3.1.5 Behavioural Processes and Participants

**Behavioural processes** are at an intermediate zone between **material** and **mental processes**. They construe physical human action which derive from psychological states, such as *laugh* and *cry*. Participants of **behavioural processes** are **Behaver**, that which behaves; and **Behaviour** – similar to **Scope**, it could be interpreted as ‘part’ of

the process. As the corpus of the present study did not present any instance of **behavioural process** when construing the nodes, the example below was extracted from Halliday and Matthiessen (2004, p. 294)<sup>10</sup>:

the child	wept	copious tears.
Participant: Behaver	Process: Behavioural	Participant: Behaviour

**Table 1.5 - Example of Behavioural Process and Participants**

The following subsection provides explanation on the last process: the **existential** one.

### 2.3.1.6 Existential Processes and Participants

According to Halliday and Matthiessen (2004), **existential processes** are located among **material** and **relational processes**. They construe the existence of an entity, which is its only participant, the **Existent**. **Table 1.4** below illustrates **existential processes** and **Existents** from the T in English and from the RT in Brazilian Portuguese.

There was always	a middle category (called mulatto or mestiço) of racial mixtures.
Havia sempre	uma categoria mediária (os chamados mulatos ou mestiços).
Process: Existential	Participant: Existent

**Table 1.6 - Examples of Existential Processes and Participants extracted from T and RT**

The next subsection discusses the concept of **Cohesive Chain**.

### 2.3.2 Cohesive Chain

Besides the experiential component of the ideational metafunction, some aspects of the cohesive chain established by the textual metafunction are also at stake in the present study. According to Halliday and Matthiessen (2004), cohesion is textually interwoven at grammatical and lexical levels. The lexical elements chosen for analysis appear to relate to each other so as to create an image (or images) of the entity *mestiço*. Thus those elements create a string of lexical cohesion in text.

<sup>10</sup> No instances of behavioural clauses were found in the corpus having the node as participant.

According to Martin (1992, p. 271), the analysis of lexis has quite been left aside as compared to grammar in Functional Linguistics. Therefore Martin asserts working with lexis is “an ambitious undertaking” as “there is less to build on”. Martin adds there is much “experiential meaning coded through lexis”, also not received much attention in Functional Linguistics.

In a case-study of Jorge Amado’s novel *Gabriela, Cravo e Canela*, Morinaka (2005) attempted at investigating the representation of Gabriela, the protagonist, by means of analysing the experiential meanings and lexical elements related to the character. Morinaka followed Eggins (2000) suggestion of “discourse-semantics”, which proposes “a link between the discourse domain of lexical relations (choices about which aspects of context get lexicalised in the text) and the experiential semantics (meaning about how reality is represented)” (Eggins, 2000, p. 105 as cited in Morinaka, 2005). Based on the assumption that “lexical relations and experiential meanings belong to the discourse-semantics” and that lexical relations are “realised by the transitivity system in the lexico-grammar” (Morinaka, 2005, p. 17), Morinaka intended to investigate the Transitivity system that construes the protagonist Gabriela by looking at all lexical ties referring to Gabriela. However, this attempt was not utterly fulfilled. Morinaka did describe the lexical cohesion that represents the character but Morinaka did not provide empirical substance as regards the Transitivity system. In a way, the study tries to take on from where Morinaka’s work left off in that it will attempt at demonstrating empirically the Transitivity system that is realised by the lexical cohesive chain representing what this research denominates the entity *mestiço*.

In most recent publication, Eggins (2004, p. xiv), instead of maintaining Martin’s (1992) model and using the label “discourse-semantics” to refer to “the stratum of language above grammar”, Eggins turns back to Halliday’s (2004) model. Eggins

argues that, to Halliday, “cohesive analyses [are] interpreted as non-structural grammatical systems”, and semantics are on “the top linguistic stratum”.

To Halliday (2004, p. 570) cohesion is construed around the clause. In thinking that cohesion takes place *around* the clause, one may see cohesion as both within the clause complex (still on the mediations of a clause) and beyond clause complex. Halliday establishes two zones of cohesion in the lexicogrammar: the grammatical zone and the lexical zone. The grammatical zone of cohesion encompasses all grammatical resources, such as “grammatical items” (conjunctions, reference items, substitute items), and “grammatical structure” (absence or substitution of a whole structure). On the other hand, Halliday suggests that cohesion is also created in discourse “through the choice of lexical items”, and that “lexical cohesion takes advantage of the patterns inherent in the organization of lexis”. Thus the lexical zone of cohesion is organised in different types of relations. That is the point where Halliday’s conception of cohesion becomes a little fuzzy<sup>11</sup>, and where decisions have to be made in order to establish analytical limits. In the present study, analyses are made in respect to same entity. In other words, elements that share related meanings, but are represented by different lexemes.

### 2.3.2.1 Types of Lexical Relations

The relations among different lexemes that construe one entity are spelled out here. Halliday and Matthiessen (2004) establish two main types of lexical relations: **repetition** and **synonymy**, being the latter subdivided in **hyponymy**, **superordination** and **meronymy**.

**Repetition**, the most direct form of lexical cohesion, simply repeats one lexical element that has already been stated in the narrative. All sorts of variations derived from

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<sup>11</sup> I thank my co-supervisor Célia Magalhães for a discussion by email (20 November, 2008) on different perspectives on the analysis of cohesion as presented by Martin (1992), Martin & Rose (2003) and Halliday & Matthiessen (2004).

the same lexeme are also considered repetitions (e.g., “coloured people” and “men of colour”. The lexical element, or lexeme, is “colour”. Both elements speak of the same entity).

Besides repetition, lexical cohesion may be established by **synonymy**. In other words, when a different lexeme establishes a close relation of meaning with a reference in a specific context (for example, *mestiço* and *mixed-blood*), lexeme and reference become synonymous. Synonymy appears to occur in different types: **hyponymy**, **superordination**, and **meronymy**. **Hyponymy** is a type of synonymical relation that occurs when one chooses a lexeme with a more specific meaning belonging to a subclass of the reference (e.g., *mestiços* is a type of *many individuals of dark skin*). **Superordination**, as opposed to hyponymy, is a type of synonymical relation that occurs when one chooses a lexeme with a broader meaning than that of the reference (e.g. *many individuals of dark skin* is a superordinate for *mestiços*). **Meronymy** is the type of relation that occurs when a lexeme indicates part of the reference (Halliday & Matthiessen, 2004, p. 575) (e.g., “mestiço” is a **meronymy** of “multi-racial society” because it is one of its components, as “hand” to “body”). Morinaka (2005) dedicated much of her investigation to meronymy in looking at the protagonist Gabriela’s body parts.

Among the types of lexical relations discussed, the present study will look at repetition, synonymy, hyponymy and superordination (consult **Appendix 6** for tables on lexical cohesion). The following subsection exposes the two types of grammatical relations that are explored in the present research.

### 2.3.2.2 Types of Grammatical Relations

Furthermore, two aspects of the grammatical zone of the cohesive chain are considered within clause complex level: **substitution** and **ellipsis**.

**Substitution** is when a personal or a Deitic pronoun is used instead of the lexical element; and **ellipsis** is a resource that does not use any lexical or grammatical element, and it allows the reader to infer from context the reference being omitted. Ellipses are signalled in the corpus by the symbol Ø.

The excerpt provides an example of substitution:

(T) *The free man of COLOR*, **who** existed at every level of Brazilian society, was conspicuously ignored by the Romantic authors.

(RT) *O homem livre de cor*, **que** existia em todos os níveis da sociedade brasileira, era consciuamente ignorado pelos escritores românticos.

#### 1.1 – Example of Substitution

The nominal group in italics *the free man of color/ o homem livre de cor*, a hyponymy of *mestiço*, is substituted for the pronoun in bold **who/ que** within a complex clause. As there are no examples of ellipsis within clause complex level, but in the RT in relation to the T, the example follows:

(T) *Free coloreds* had succeeded in gaining a considerable occupational mobility - entry into skilled occupations and even occasionally prominent positions as artists, politicians, and writers - while slavery was still dominant through out the country.

(RT) Ø Haviam conseguido atingir considerável mobilidade ocupacional - admissão a ocupações especializadas e, até, ocasionalmente, a posições preeminentes como artistas, políticos e escritores - enquanto a escravidão era, ainda, dominante em todo o país.

#### 1.2 – Example of Ellipsis

In the RT, *free coloreds* was re-textualised as Ø. This cohesive resource is used above clause complex level since the ellipsis in the RT refers to a clause complex in the RT (“A conclusão é que *os homens livres de cor* tiveram importante papel no Brasil muito antes da Abolição.”) that comes right before the one above. This type of ellipsis is beyond the scope of the present study as it goes beyond the unit of analysis. However, it is taken into consideration in considering the relation RT establishes with T.



The following subsection described analytical units elected for the present study, after some methodological decisions were taken.

### **2.3.3 Defining Analytical Units**

This subsection describes the functional grammatical structures examined to refine the analyses of the present study. As the present study looks at the experiential component of language and the lexical zone of the cohesive chain for Halliday & Matthiessen (2004), and lexical cohesion for Martin (2004), the units of analysis are participants and processes, therefore, **nominal groups** and **verbal groups**. Within the selection of nodes, which is spelled out in **CHAPTER THREE**, analysis was narrowed down in order to meet the objectives of the present study, which are to describe the representation of the entity *mestiço*. In this way, of all grammatical structures that compound the experiential metafunction and the cohesive chain in a text, the analysis of circumstances was left aside, as they did not present much relevance. Here I describe the nominal group, the verbal group, and the parts picked for analysis.

#### **2.3.3.1 The nominal group**

The nominal group can be described in terms of its experiential and logical functions. When referring to the experiential function, Halliday and Matthiessen (2004) describe the nominal group as those that “realize terms within different systems of the system network of the nominal group” (p. 312). These systems are realised by the functional elements: Deitic, Numerative, Epithet, Classifier, Thing, and Qualifier. Following Halliday and Matthiessen, Bloor and Bloor (2004), in their concise explanation, say the logical function of the nominal group is realised by *premodifiers*, whatever comes before the Head, the Head, and *postmodifiers*, whatever comes after the Head.

*Premodifiers* are generally all functional elements indicated above bar the Qualifier, which is always a *postmodifier*. The Thing may be either the Head or a *premodifier* depending on the logical function it is realising in the nominal group.

The entity *mestiço* is analysed in the present study when occurring as the logical element **Head, Classifier** premodifying a Head that represents a human entity or as **Qualifier** when realising a collocation that establishes a synonymical relation with the entity *mestiço* (e.g. “the free man of color”). This will become clearer with the explanation of each of the functional elements of the nominal group, which follow below.

### 2.3.3.1.1 The Deitic

Briefly the Deitic realises the system of DETERMINATION<sup>12</sup>. It is an element that “indicates whether or not some specific subset of the Thing is intended” (Halliday & Matthiessen, p. 312). The system of Determination can be described as a large spiderweb (p. 313) in terms of specificity, which can be either **demonstrative** or **possessive**. From demonstrative, an element can indicate **proximity**, and from possessive, an element can indicate the **person** to whom the Thing belongs. The excerpt from the corpus under study illustrates the Deitic:

*the* process would be aided by *the* probable lightening of the mulattoes  
**1.3 – Illustrative excerpt of the T from Chapter 6**

The excerpt above has two nominal groups which are underlined and whose Deitics are highlighted in bold and black: “the process”, one participant (Goal) of the material process “aid”, and “the probable lightening of the mulattoes”, the other participant (Actor) of the clause. The Goal is determined by one **demonstrative** Deitic element

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<sup>12</sup> Typology used when describing functional elements follow Halliday and Matthiessen’s (2004). Therefore it does not account for any sort of emphasis on my part.

“the” which specifies the Thing, “process”. The Actor is determined by one **demonstrative** Deitic element “the” and by one **possessive** Deitic element “of the mulattoes” which expresses to whom “the probable lightening” belongs. Halliday and Matthiessen (ibid.) present more delicate categories for the system of DETERMINATION which will not be explained here (for additional information, refer to Halliday & Matthiessen (2004), pp. 312-317, 322).

### 2.3.3.1.2 The Numerative

The Numerative functional element of the nominal group realises the quantity and/or order of the Thing. Thus it is subdivided in two groups (Halliday & Matthiessen, 2004, p. 318): (a) The quantifying Numeratives (or quantitatives), which can determine an exact or an inexact number; (b) The ordering Numeratives (or ordinatives), which can determine an exact or an inexact place in order. The excerpt illustrates Numeratives:

Brazil already had ***a large number of*** freemen of color before final abolition.

#### 1.4 – Illustrative excerpt of the T from Chapter 2

The Attribute of the possessive relation process underlined above is specified quantitatively by the inexact Numerative in bold and italics “a large number of”. For additional information on Numeratives, refer to Halliday and Matthiessen (2004), pp. 317-318, 322.

### 2.3.3.1.3 The Epithet

In general lines, Epithets express a quality of the Thing. Quality can be either “an objective property”, the **experiential Epithet**, or “an expression of the speaker’s subjective attitude towards” (p. 318) the Thing, the **interpersonal Epithet**. The excerpt below provides an example of Epithet:

During the intervening half-century the free *colored* population grew to 42 per cent of the total population, while the slaves dwindled to less than 16 per cent.

**1.5 - Illustrative excerpt of the T from Chapter 2**

The underlined segment refers to the Actor of the process “grow”. In the context of the text, “colored” is an objective property of “population”. The lexical item “free” also indicates quality, but it will be explained in the subsection below (**The Classifier**).

**2.3.3.1.4 The Classifier**

The Classifier expresses a subclass to which the Thing belongs. A same lexeme may indicate either an Epithet or a Classifier, it all relies on function. Halliday and Matthiessen provide the following example to illustrate this differentiation: “*fast trains* may mean either ‘trains that go fast’ (*fast*=Epithet) or ‘trains classified as expresses’ (*fast*=Classifier)” (p. 319). As an example, I shall refer to the same excerpt indicated above:

During the intervening half-century the *free* colored population grew to 42 per cent of the total population, while the slaves dwindled to less than 16 per cent.

**1.6 - Illustrative excerpt from Chapter 2 of the T**

As explained above, “colored” indicate an objective property of “population” when observed according to context. Now “free” indicates a subclass of population in this particular context. From “free” one can understand to which social-economical group this slice of the population is part of. This is another way of differentiating Classifiers from Epithets: the latter can be modified whereas the former cannot. It would not make sense to say “the freer population” since indicates a social class. Yet “the lighter/darker colored population” would make sense in terms of context. (For more details on the Classifier refer to Halliday & Matthiessen (2004), pp. 319-320, 322-324).

### 2.3.3.1.5 The Thing

Bloor and Bloor (2004, p. 142) describe the Thing as “a material inanimate thing, an animal, a person, a substance or even an abstract concept.” Halliday and Matthiessen (2004, p. 325) go beyond in saying it is “the semantic core of the nominal group.” To them, Things may be common or proper nouns, or personal pronouns, which may be categorised in terms of **countability**, thus countable or non-countable; **animacy**, thus conscious or non-conscious; and **generality**, thus as to determine their taxonomic levels, from more general to more specific.

One may assume the Thing will always be the Head of the nominal group. However, this depends on the function realised by the functional element in question. For example, in **1.3 - Illustrative excerpt of the T from chapter 6**, the Head of the nominal group “the probable lightning of the mulattoes” is realised by the non-finite “lightning” (‘that is getting lighter’), and the Thing, the semantic core, operates as the Qualifier of the nominal group.

The next subsection describes the nature of **Qualifiers**.

### 2.3.3.1.6 The Qualifier

The Qualifier appears right after the Thing as a *post-modifier*. It has its own structure, generally in the form of a phrase. According to Halliday and Matthiessen (ibid, p. 323), Qualifiers are rank-shifted; in other words, differently from other functional elements of the nominal group which are “constituents of a higher unit”, they are “of a rank higher than or at least equivalent to that of the nominal group.” Though such is the case, they *depend* on the nominal group, establishing a relation of hypotaxis with it. Halliday and Matthiessen also use the term “embedded” to suggest that they relate to the nominal

group, and that they are inserted in it altering its meaning. Very commonly, lexical items related to the entity *mestiço* appear embedded in the position of a Qualifier:

- (1) The newly emergent Third World is made up largely of "colored" nations
- (2) while at the same time justifying the submergence of the Brazilian non-white.
- (3) On another level, however, the book was also an indictment of the mixed blood.

**1.7 - Examples of nodes as the Experiential structure Qualifier from, respectively, chap. 7, 4 and 3**

In (1) *of colored nations* is the Qualifier of the Head “largely”, a Numerative; in (2) *of the Brazilian non-white* is the Qualifier of the Head “submergence”, the Thing; and in (3) *of the mixed-blood* is the Qualifier of the Head “indictment”, also the Thing. Recalling that the entity *mestiço* is analysed in the present study only when occurring as the Head of the nominal group or as a Classifier premodifying a Head that represents a human entity, the examples above illustrate occurrences which have been left aside.

### 2.3.3.2 The verbal group

Similarly to the nominal group, the verbal group has constituents which relate interdependently. The following table provides a schematic view of the verbal group:

Finite verb	Auxiliary1 verb	Auxiliary2 verb	AuxiliaryN <sup>13</sup> verb	Event – Lexical verb
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Table 1.7 - Schematic View of the Verbal Group (adapted from Halliday & Matthiessen (2004), p. 336)

Halliday and Matthiessen (2004) compare the Finite as equivalent to the Deitic, which relates the speaker to the moment of the ‘going-on’ by means of tense or modality. The authors also relate the Thing to the Event in terms of their semantic relevance to the group they belong to. The authors attribute these similarities to verbal and nominal group starting “with the element that ‘fixes’ the group in relation to the speech exchange”, and finishing “with the element that specifies the representational content” (ibid., p. 336).

<sup>13</sup> “N” indicates the possibility of there being as many auxiliaries as required; needless to present them in the table.

This exposition will not be developed in more detail as regards to Finite and Auxiliary verbs since they are not part of the scope of the present study. Finite and Auxiliary are particularly relevant when observing the interpersonal metafunction of language, but that is not the case here as the present study analysis elements that realise the ideational metafunction. My concern is, thus, to signal what is the representational content of the verbal group, its lexical verb, or the ‘semantic core’ of the verbal group (for more detailed information on the structure of the verbal group, refer to Halliday & Matthiessen, 2004, pp. 335-358). The following excerpt will suit this purpose:

the process would be aided by the probable lightening of the mulattoes  
**1.8 - Elements of the Verbal Group – Illustrative Excerpt of the T from Chapter 2**

In the clause above, the verbal group is formed by the underlined elements “would be aided”. The Finite is realised by “would”, which indicated tense, the auxiliary is realised by “be”, which indicated passive voice, and the Event is realised by “aided”, which is the focus of the Transitivity system. The verbal group above is composed by three elements, but to the present study, only Event “aided” is relevant for analysis for that is where the representational content of the verbal group lies.

The following example presents a different verbal group scheme:

Brazil already had a large number of freemen of color before final abolition  
**1.9 - Element of the verbal group – Illustrative excerpt from Chapter 2 of the T**

Excerpt **1.9** has only one element in the verbal group, the Event “had”, which coincides with the Finite indicating simple present tense. However the verbal group may occur in more complex structures, such as the following one:

Then he continued: “Fortunately there is no race prejudice in Brazil and one sees *colored men* marrying white women and vice versa, with the result that the black population is declining extraordinarily.”  
**1.10 - Complex clause – Illustrative excerpt of the T from Chapter 6**

From all processes of excerpt **1.10**, I will focus solely on the two processes which realise the participant *colored men* which is one of the nodes of the present study. “Colored men” is both the Phenomenon of “sees” and the Actor of the non-finite “marrying”. The mental process *see* **projects** the ‘going-on’ *marry*. Therefore there is a **hypotactic** relation between *see* and *marry* which are part of a **clause complex**, that is a clause composed of more than one process.

To sum up the types of logical organisation of the verb, Halliday and Matthiessen (2004, p. 521) explain:

a verbal group construes a single event, and a clause nexus construes two distinct processes; but a verbal group nexus construes a single verb process consisting of two events. These different options are available to speakers and writers when they construe their experience of the flow of events. They choose whether they construe a given experience as a process consisting of a chain of two (or more) events, or as a chain of two (or more) processes.

The following section refers to the theoretical vector that bases the methodological framework of the present study.

#### **2.4 The Contribution of the Methodological Apparatus: Corpus Linguistics**

Corpus Linguistics (CL) is an autonomous field of research, which can be handled throughout with its own problems and theories. Yet Leech (1992) suggests that CL may serve as methodological base for research on linguistic studies of any nature. In this vein, CL has been incorporated by SFL (Halliday, 2007) and TS followers (Baker 1993, 1995, 1996) in order to streamline investigation. The present study, which applies CL to SFL and TS, applies, thus, a *corpus-based methodology*. The two paradigms (CL applied to SFL and CL applied to TS) are exposed in the following subsections.



### 2.4.1 Corpus Linguistics applied to Systemic Functional Linguistics

Halliday (2007) wrote the chapter “Afterwords” of *System and Corpus: Exploring Connections*, in which he explains how SFL can benefit from CL. To Halliday, this ‘juxtaposition’ of two different views of language results from a “natural affinity” between the two areas (p. 293). Though they differ in resources or in the way they use their resources, they can learn from one another, as long as they do not waste their energy on claiming their “own right to exist” (p. 293).

Halliday says that when studying how language works, one should not leave behind the “most unselfconscious manifestations” (p. 294) of language in text, especially in spontaneous speech. Computers enable researchers to investigate large amounts of data potentialising searches. Halliday argues that

a language is a meaning potential, one that is open-ended; the grammatics has to explain how this meaning potential is exploited, and also how it can be enlarged. And this is where I see a complementarity between systemic theory and corpus linguistics. (p. 295)

Pursuing this further, on the one hand, CL prioritises probability of occurrences, where which data shapes theory, and, on the other hand, SFL prioritises probability of choice along the paradigmatic cline, where one can see the pattern of choices in language, differently from representativeness in terms of occurrences – the most frequent, the most probable to occur.

In essence, CL’s and SFL’s differences in approach are a matter of priorities: the relative weight given to generalisations of different kinds and in different places. To round off this discussion, the juxtaposition of CL and SFL can enable researchers to look at data from two different standpoints: from data to theory, and from theory back to data (cf. Tucker as cited in Halliday, 2007, p. 295).

### 2.4.2 Corpus Linguistics applied to Translation Studies

As regards TS, in 1993, Baker published a paper which may be considered part of the foundational literature of CL applied to TS. In this paper, the author acknowledges the eminence of CL, and its contribution to any discipline “in which language plays a major role” (p. 233). Moreover, she argues that the integration of CL methodologies<sup>14</sup> breaks old paradigms in TS, redefining the prestige and authoritative status of source texts, and changing the way translated texts are observed and valued. In this paper, the author also points out the need to develop methodological tools to explore the advancements CL may provide to the field of TS.

Later, in 1995, Baker reports the wide acceptance of CL in language studies, defines corpus, accounts for applications of corpus in teaching, translating, and carrying out research on TS. Again the author discusses the need for developing better methodological tools, but here she provides examples obtained from corpus analysis, and tests possible research designs.

In 1996, Baker published another paper in which she discusses the exclusion of translated texts from monolingual corpora, and the treatment of translations as ‘translationese’ (p. 175). In this paper, she highlights features that may be present in translated language. She concludes her paper debating that TS is more concerned with more subjective issues than the harsh concrete aspects preached by CL. In this sense, Malmkjaer (1998) corroborates Baker’s arguments pointing out that data obtained from corpus should be explained, since language is “more than mere statistics” (p. 6). In this way, data alone provided by CL do not suffice; researchers need to go further in their investigations by providing relevant contextual insights in order to strive at solving problems proper of TS.

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<sup>14</sup> Remember here that CL *methodologies* are incorporated both to TS and SFL, but not the principles.

In order to cover this gap in methodological deficiencies, in respect of exploring data beyond statistics, Scott (2001), Magalhães (2001), Fernandes (2004), and Alves and Morinaka (2004) provide discussions on the application of computational tools in TS. Scott (2001), the developer of *WordSmith Tools* (WST), provides extensive methodological explanations in a way that “the language student, teacher or analyst working at home with a standard personal computer” may develop investigations (p. 47). Then Magalhães (2001) discusses the application of CL in TS using the software WST in the quest for testing ‘universals of translation’ (p. 113). Fernandes (2004) developed his doctoral dissertation on the development of a children’s fantasy literature corpus. In his dissertation, he provides detailed explanations on how to design a corpus for the purposes of TS, which can be used as a model for further research. Additionally, in Brazil, Alves and Morinaka (2004) provide a step-by-step guide for doing research with WST.

More detailed information on the application and theoretical aspects of CTS is discussed in **CHAPTER THREE – Method.**

## CHAPTER THREE

### Method

[T]he way we construct our theory determines the way we categorise and interpret our data. (Leech 1992, p. 111)

#### 3.1 Introductory Considerations

The method that informs this thesis is divided in three main stages. This general framework is based on Fernandes (2004), and enriched by theoretical discussions which revolve around Sinclair (1991), Baker (1993, 1995), Leech (1992), and McEnery and Wilson (1996). These readings are spelled out in the following subsections.

To begin this exposition, Fernandes (2004) provides a crystal clear delineation of the methodology used in his doctoral dissertation. The author describes the benefits of computerised corpora to investigations in Translation Studies. The list goes from the empirical provision corpora brings to descriptive analysis (more efficient visualisation and storage of data) to being a “renewable source of data” (p. 73) which can be used to investigate various linguistics facets of the same object. In order to provide his readers with a sound explanation of his methodology, the author organises corpus compilation in main three parts: (i) “corpus design”, in which the author explores theoretical aspects concerning corpus planning; (ii) “corpus building”, in which the author explains decisions related to technical aspects of corpus compilation; and (iii) “corpus processing”, in which the author gives account of the computational tools used (op. cit. p. 73).

The author’s framework seems suitable for the purpose of the present piece of research, and therefore his suggestions are adopted and adapted according to the needs of this thesis. Inspired by Fernandes (2004) method framework, this section is organised in **3.2 Corpus Design**, **3.3 Corpus Building**, and **3.4 Corpus Processing**.

## 3.2 Corpus Design

This subsection is organised in six main topics: **3.2.1 Corpus Purpose**; **3.2.2 Corpus Typology**; **3.2.3 Corpus Representativeness and Corpus size**; **3.2.4 Copyright**; and **3.2.5 Contextual Information about the Corpus**.

### 3.2.1 Corpus Purpose

The corpus purpose is meant to describe “how the selection criteria are to be established” (ibid.). In other words, this subsection shows the guidelines which inform the creation of the corpus of the present study. In order to arrive at the purpose of this study presented in the first chapter of this work, a long path was traced. It began with curious readings on ‘Brazilianism’, a term that dates from the sixties to denote non-Brazilian scholars who received grants in that period to specialise their studies on ‘Brazil’ (Massi, 1990). One of the first and most prominent researchers of that time was Professor Thomas E. Skidmore, whose studies led him to deal with racial matters in Brazil. This is how *Black into white: race and nationality in Brazilian thought* came on stage.

Readings on Brazilianism (Massi, 1990; Meihy, 1991) led to readings on a discussion of race. As *Black into white*’s main concern is with Brazilian black population and the event of miscegenation, it was elected for such investigation. Thus, *Black into white* serves the purpose of finding out how ‘mestiços’ and their derivations are rendered and represented by language (see **3.4.1 Criteria for Data Selection** for a discussion on **nodes**).

Professor Thomas Skidmore started his studies on Brazil in the sixties. His first book was *Politics in Brazil 1930-1964: an Experiment in Democracy*. When he started his second book, published in 1974, “Black into white: race and nationality in Brazilian

thought”, he first believed he was going to revisit Brazilian representative figures from 1870 to 1930. However, Skidmore stated in the first preface to *Black into White*, “only slowly did I realize that I was heading toward a detailed analysis of racial thought in Brazil” (Skidmore, 2005, p. xxi). As his book became referential in racial studies both in the USA and in Brazil, it drew my attention to his representation of Brazil.

What motivated the examination of how the *mestiço* is represented in *Black into White* were (i) previous readings of Skidmore’s (2005, pp. 39-40) book. In the first chapter, the author states:

Nineteenth-century Brazil already exhibited a complex system of racial classification. It was pluralistic, or multi-racial, in contrast to the rigidly bi-racial system of North America. The half-million slaves who were freed in 1888 entered a complex social structure that included free men of color (of every shade). Skin color, hair texture, facial, and other visible physical characteristics were the determinants of the racial category into which a person would be placed by those he met. The apparent wealth or status of the person being observed, indicated by his clothes or his immediate social company, also influenced the observer's reaction, as indicated by the Brazilian adage "money whitens" – although the instances observed usually applied to light mulatto. The sum total of physical characteristics (the "phenotype") was the determining factor, although perception of this might vary according to the region, area, and observer. Brazil had never, at least not since late colonial times, exhibited a rigidly bi-racial system. There was always a middle category (called mulatto or mestiço) of racial mixtures. The strict observation of color-based endogamy, which became sanctified by law during the 1890's in the United States, had never existed in Brazil.

Brazilian intricate and complex social relations deal with the colour-problem as something relative, that is, something that relies on more than simply skin colour (Prado Júnior, 2002; Freyre, 2002; Skidmore, 2005). This excerpt is intriguing in the sense that it points to many lexical items related to what is in the ‘middle’ of the colour continuum, as Skidmore (2005) suggests. This excerpt motivated reading the T in order

to find potential nodes. In this way, the **nodes** ‘color\*’,<sup>15</sup> ‘mestiço\*’, ‘mixed blood\*’, ‘mulatto\*’, and ‘non-white\*’ were elected for data collection.

### 3.2.2 Corpus Typology

As far as corpus typology is concerned, Baker (1995, p. 229) lists six basic criteria for designing a corpus. These criteria are reported in the following way: (i) written vs. spoken language; (ii) typicality and genres; (iii) general language vs. restricted language; (iv) synchronic vs. diachronic; (v) geographical limits; and (vi) monolingual vs. bilingual or multilingual. To items (i), (ii) and (iii), Fernandes (2004, p. 76) uses the taxonomy “Corpus Domain”; to item (iv), the author uses the taxonomy “Temporal restriction” (p. 75); and to items (v) and (vi), the author uses the taxonomy “Number of languages” (p. 75). Fernandes (2004, p. 76) adds “Directionality” to Baker’s classification, in which corpora can be unidirectional, bidirectional or multidirectional. This last classification derives from “Number of languages”.

These explained, according to Baker (1995) definitions and Fernandes (2004) taxonomies, the Corpus Domain is classified as **written**, since both T and RT were originally published as books. The T was first published in the U.S.A. in 1974. The main alteration made on this publication was the 1993 preface, which is maintained in the 2005 print. Meanwhile, the RT was first published in Brazil in 1976, and then in 1989. Therefore, the last Brazilian publication does not contain the 1993 preface present in the RT. The T’s latest printing dates from 2005 in paperback format, whereas the RT most recent printing dates from 1989 (see **Table 2.1 Classification of the Corpus** for more details on T’s and RT’s publications). Interestingly, the T’s last printings have been printed more recently than the RT. The corpus contains restricted language; in

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<sup>15</sup> The asterisk sign (‘\*’) indicates that suffixes of the lexical item in question are also considered. When doing searches on *WTS*, it is necessary to add ‘\*’ to the end of words in order to include derived forms. That is, *WTS* interprets lexical items as lemmas by doing so.

other words, it is **specialised** (Fernandes, 2004, p. 76) as it contains books which have been published within the academic realm. Therefore, its genre can be classified as **academic**, encompassing Brazilian History.

In terms of temporal restriction, the components of the corpus were published with a short time gap. In this sense, the corpus is considered synchronic because it “focuses on an object of study at one particular point in time” (Fernandes, 2004, p. 75), instead of investigating an object of study which went through historical development. This can be affirmed because the books used in the compilation of this corpus were not altered in relation to their other printings. In other words, the sequence of chapters and the text itself of the T and of the RT have not been modified, except for the addition of a preface to the T, which was excluded from the corpus compilation.

Last, the corpus is **bilingual**, and it is therefore **parallel** because it is composed of the T in U.S. English and its only translation into Brazilian Portuguese. Consequently, the corpus is **unidirectional**, since translation works in only one way (from English to Portuguese). For a quick view of the **Corpus Typology**, check the table 2.1 below:

Taxonomy	Classification	T	RT
Corpus Domain	Written, Academic books	Title: Black into white: race and nationality in Brazilian thought	Title: Preto no branco: raça e nacionalidade no pensamento brasileiro
Temporal restriction	Synchronic	<b>1<sup>st</sup> edition:</b> 1974 (Oxford Press University) <b>2<sup>nd</sup> edition:</b> 1993 <b>Used version:</b> 5 <sup>th</sup> printing of the 1993 edition (2005) (Duke Press University)	<b>1<sup>st</sup> edition:</b> 1976 (Paz e Terra) <b>2<sup>nd</sup> edition:</b> 1989 <b>Used version:</b> 1989 (Paz e Terra)
Number of languages	Parallel (bilingual and, unidirectional)	U.S. English Textualised by Thomas E. Skidmore)	Brazilian Portuguese Re-textualised by Raul de Sá Barbosa

**Table 2.1 – Extratextual information of the Corpus**

As **Corpus Typology** has been exposed, now **Corpus Representativeness** will be discussed.



### 3.2.3 Corpus Representativeness and Corpus Size

The present study is specialised, thus, its concern has not to do with investigating general language. The focus here is to verify how one specific author (Skidmore, 2005) textualises the mestiço in the book *Black into White*, that is, one specific work, and how the one translator of this work (Barbosa, 1989) re-textualises the mestiço in *Preto no Branco*. Halliday and Matthiessen (2004, p. 3) say that texts can be studied as “artefacts”, that is, “objects [their] own right”. On relating SFL to CL, Thompson and Hunston (2007) argue that SFL is a complex grammar, thus SFL analyses are usually slow paced. Due to SFL’s nature, the authors recommend that analyses be done in small-scale corpora (ibid., p. 7).

Sinclair’s (2001) discussion on the size of the corpus is brought to light here. In preface to *Small Corpus Studies* (ibid.), Sinclair exposes the development of computational linguistics and corpora from the sixties to the eighties. The researcher devotes most of the available space to discuss the relativity of corpus size and how that concept has changed throughout time. In the sixties, corpora would be large or small if compared to what had been compiled, since there were only one North American project and one British project. In the seventies, other institutions began to compile full texts, differently from the North American project of the sixties, which compiled various sets of 2,000-word samples. In the eighties, PCs became more and more available, thus, corpora could be processed by students’ computers, and concepts such as “data-driven learning” were popularised (ibid., p. xiii).

As linguists grew interested in working with computerised texts, corpora’s size started to be looked at from the viewpoint of the purpose of analysis, and, consequently, the methodology used. Based on that, Sinclair (2001) defines small corpus as “a body of relevant and reliable evidence, and is either small enough to be analysed manually, or is

processed by the computer in a preliminary fashion [...]; thereafter the evidence is interpreted by the scholar directly” (p. xi). Sinclair comments upon nowadays most critical contrast between Large and Small Corpora: the former is designed for delayed human intervention (DHI), whereas the latter is designed for early human intervention (EHI). For the purpose of this research, the EHI method is used since the corpus is submitted to researcher’s direct intervention, and built specifically for the purpose of the present investigation. It is important to highlight that in the case of this thesis, the researcher’s direct intervention has do to with annotating the corpus, issue that is explained in **2.3 Corpus Processing**. Sinclair also pinpoints that when studying one specific author’s style or use of certain words, a small collection of texts should suffice.

To round off this discussion, in the case of this piece of research, the object of analysis is restricted to the historian Skidmore’s (2005) work and its respective and only translation into Brazilian Portuguese (trans. Barbosa 1989). Therefore, the corpus is a **small scale** one, and it has been manipulated by means of **EHI**.

### **3.2.4 Copyright**

Fernandes (2004, p. 79) argues that when working with corpus building it is fundamental “to get permission from the copyright holders to put their texts into electronic form”. However, as the corpus of the present study is only for personal use, and there is no intention of publishing the corpus in electronic format or using it for commercial purposes, getting permission or not to put texts in electronic form should not be a problem. It is important to report here that the T is already available in electronic format<sup>16</sup>. During the processing of the corpus, requests were sent to the publishing house to purchase the book in electronic format. However, due to

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<sup>16</sup>Available at <http://www.bibliovault.org/BV.book.epl?BookId=8968>. Retrieved in August, 2008. Attempts were made at purchasing the book in electronic format in October, 2007. As my request was denied, I continued processing the corpus myself.

institutional reasons, the requests were declined (see **Appendix 1** for emails exchanged with the publishing house).

### 3.2.5 Contextual Information about the Corpus

Here, the reader is provided with a brief description of the context of production of the texts used in the corpus of the present study, and some paratextual information not referred to in 3.2.2.

As shown in **Table 2.1**, the T has more editions than the RT. This study uses the most recent versions of the T and the RT, and the T's most recent version is more recent than the RT's. Below it is possible to visualise the covers of the T and of the RT respectively:

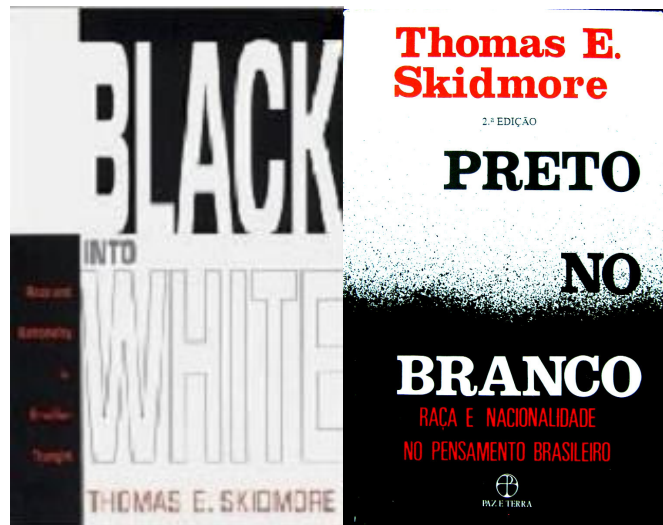


Figure 2.1 – T's and RT's covers

Analysing the covers in theoretical terms (for example, by drawing on Kress and Van Leeuwen's (2001) Grammar of Visual Design) is out of the scope of this work, which is not multi-modality-oriented; however, it becomes immediately apparent that some differences in presenting the books exist and they might be indicative of the way T and RT are construed: both covers have the same triad of colours (black, white and red); yet

the black and white order is inverted in the RT. Furthermore the preposition “into” indicates movement, that is, the transformation process of black *into* white. On the other hand, the preposition “em” in RT title indicates being, or better stability, that is, ‘there is black *in* the white’, and not black being transformed or moving towards the white.

Surprisingly the RT does not contain any information about the translator, not even a translator’s preface or footnote. The organisation of the T and of the RT is pretty much the same, except that the T contains a preface to the 1993 edition, which the RT does not, as its last version is older (1989) than the most recent version of the T (2005).

The T and the RT are basically organised in the following way:

T	RT
Cover	Cover
Front matter	Front matter
Dedication	Dedication
Contents	Contents
Preface to the 1993 edition	[nothing]
Preface	Preface
Acknowledgements	Acknowledgements
Chapters 1-7	Chapters 1-6 and Epilogue (corresponding to T’s chap. 7)
Note on sources and methodology	Note on sources and methodology (“Capítulo 7”)
Notes	Notes
Selected bibliographical index	Selected bibliographical index
Back matter [“About the author”]	Back matter [nothing]
Back cover [with comments of various personalities on the book]	Back cover [with comments by the publishing house, Paz & Terra, on the book]

Table 2.2 – Organisation of the T and of the RT

Once again, it is important to emphasise that this piece of research is concerned only with the inside body of the books in question; that is, it focuses on the chapters of the T and RT. The paratextual material is not analysed as it does not belong to the scope of this work and it is here referred to only for illustrative purposes.

To conclude this subsection and start the description of the **Corpus Building**, it is important to say that all extratextual information is used here as contextual information of the empirical data.

### **3.3 Corpus Building**

The purpose of this subsection is to describe the technical aspects of corpus compilation. It is a step by step explanation of what was done in order to make the corpus ready for the collection and analysis of data. The following steps describe how texts were converted from printed format into electronic format.

This section is organised in two subsections: **3.3.1 Corpus Digitalisation**, which gives an account of the hardware and software for transforming printed text into electronic text, proof-reading, and annotation; and **3.3.2 Corpus Alignment**, which also gives account of the software used.

#### **3.3.1 Corpus Digitalisation**

First of all, it is important to list here the material used during this phase. To digitalise the corpus, the flat bed scanner that comes in HP Photosmart C3180 All-in-One was used. HP All-in-One products conjugate printer, scanner, and photocopier in one machine. This product comes with a software pack which contains an integrated OCR (Optical Character Recognition). When scanning, it automatically converts the scanned image into a text file, i.e. it digitalises the text. The computer used was a notebook Acer Aspire 5670 series with an Intel Centrino Duo processor (1.66 GHz), a 120 GB-hard drive, 2.00 GB of RAM.

Second, the T and then the RT were digitalised. Chapters were scanned as separate files. In other words, when the digitalisation of chapter one finished, the file would be named “CHAP1” or “CAP1” (“CHAP” for the T and “CAP” for the RT) in “.rtf” files (“rich text format”), until chapter seven, the last one. The chapter criterion was kept as the smaller unit for organisation of texts during the entire process of corpus building and processing.

Third, after digitalising all chapters, it was necessary to proof read one by one. Apparently, perfect digitalisation (i.e. the conversion of image files into text ones) cannot be obtained yet, and thus, researchers have to do the proof-reading and edit textual mistakes due to problems in character recognition. Altogether with textual corrections, which must be done having printed texts at hand, texts were adjusted, so that they could be adequately read by *WordSmith Tools 3.00.00 (WST)*.

This adjustment encompasses verifying spaces among words and paragraphs, and inserting tags, or annotating the corpus. To McEnery and Wilson (1996, p. 24) an annotated corpus is “no longer simply a body of text in which the linguistic information is implicitly present.” The authors discuss existing formats of annotation, and also say that there is a tendency to standardise annotations. In the present study, TEI (Text Encoding Initiative) format is used as it represents “the flagship” (p. 37) of this standardisation. TEI tags make the elements of the text explicit. These elements are basically headers, titles, subtitles, paragraphs, footnotes, which are signalled with a start tag and an end tag, which represent respectively the beginning and the end of a textual element (see **Appendix 2** for examples of annotation). Likewise, the same logic was applied to annotating chapter titles (start tag: <chaptitle>; and end tag: </chaptitle>), subtitles, footnotes, and to signal the presence of tables (<table>Table name</table>) in the original texts as they have been discharged, since the software used in the present study (WST) to align and make concordances does not support tables or any figures of the like. For labelling of data according to SFL categories, refer to subsection **3.4.3 Annotation of data – SFL categories**.

### 3.3.2 Corpus Alignment

After texts were properly proof-read and annotated, texts were aligned in chapters, instead of aligning the whole books. In this way, this task could be split in seven sessions, as T and RT contain seven chapters. Here there is a sensible explanation to this, learned from previous experiences: WST does not save the work done. In this way, once having started the aligning process, one has to work until the end, even if that takes several hours of work.

To facilitate this stage of **corpus building**, some punctuation marks had to be manipulated. To WST, periods represent the end of a sentence, and it aligns texts on a sentence-basis. Therefore, in order to avoid further complications during the alignment, in the T, all period marks were placed after quotation marks, using the *Microsoft Word 2007*'s tool *Find.>>Replace for* ". (i.e., "." instead of the original "."). Additionally, all abbreviation marks were eliminated (e.g., "Mr." substituted for "Mr") in order to avoid reading problems by the software *WST*.

During aligning, it was possible to see that the T tended to have more sentences than the RT (as confirmed by WST's *WordList* – compare **Table 2.2** and **Table 2.3** below), that is, the translator seemed to split the RT into smaller chunks than the T writer. **Appendix 2** shows three images: the T before merging, the T and the RT merged (i.e., aligned), and RT before merging. All of them are ".doc" files (see **Appendix 2** for images of those files). Interestingly, at times, the translator opted for longer sentences in the RT as compared to the T, either by adding information that was not present in the T, either by grouping separate sentences. Because of this, the final aligning of texts presented lines with sentences, two or more sentences, and whole paragraphs at times. Footnotes were aligned as such, not as sentences.

To conclude this subsection, Tables 2.3 and 2.4 below provide quantitative information about the T and the RT respectively:

N	1	2	3	4	5	6	7	8
Text File	OVERALL	ENG-1.TXT	ENG2.TXT	ENG3.TXT	ENG4.TXT	ENG5.TXT	ENG6.TXT	ENG-EP-1.TXT
Bytes	450,066	73,649	83,731	98,771	37,656	59,210	72,192	24,857
Tokens	70,362	11,405	13,103	15,419	5,909	9,337	11,324	3,865
Types	8,127	2,820	2,823	3,606	1,725	2,536	2,826	1,217
Type/Token Ratio	11,55	24,73	21,54	23,39	29,19	27,16	24,96	31,49
Standardised Type/Token	48,48	48,31	46,53	48,97	48,26	50,34	49,20	46,50
Ave. Word Length	5,12	5,20	5,14	5,14	5,10	5,08	5,14	5,23
Sentences	2,953	506	529	706	237	419	411	145
Sent.length	23,60	22,05	24,59	21,72	24,51	22,16	27,31	26,66
sd. Sent. Length	12,44	10,84	12,23	11,98	12,90	11,69	14,16	13,53
Paragraphs	536	107	102	137	54	46	67	23

Table 2.3 – Quantitative information about the T (North American English)

In order to draw comparisons, Table 2.4 below provides quantitative information about the RT:

N	1	2	3	4	5	6	7	8
Text File	OVERALL	PORT-1.TXT	PORT2.TXT	PORT3.TXT	PORT4.TXT	PORT5.TXT	PORT6.TXT	PORT-E-1.TXT
Bytes	469,069	76,284	86,253	102,554	38,842	62,037	76,600	26,499
Tokens	72,108	11,688	13,157	15,597	6,009	9,662	11,908	4,087
Types	10,386	3,350	3,370	4,282	1,910	2,874	3,319	1,394
Type/Token Ratio	14,68	28,66	25,61	27,45	31,79	29,75	27,87	34,11
Standardised Type/Token	51,26	51,45	50,18	52,75	50,08	51,50	51,38	48,92
Ave. Word Length	5,15	5,24	5,27	5,28	5,16	5,15	5,17	5,25
Sentences	3,032	499	529	718	248	419	471	148
Sent.length	23,62	23,21	24,56	21,61	24,10	22,95	25,16	27,57
sd. Sent. Length	12,59	12,42	11,94	12,17	13,10	12,33	12,95	14,40
Paragraphs	557	71	96	139	58	70	96	27

Table 2.4 – Quantitative information about the RT (Brazilian Portuguese)

As Table 2.4 shows, the T has fewer (2,953) sentences than the RT (3,032) most probably due to translator's tendency to split sentences into smaller chunks. That represents  $T < 2.6\% \text{ sentences} < RT$ . Also to corroborate that the RT seems to provide readers with additional information which is not present in the T, the RT (72,108 words)



has 1,746 more words than the T (70,362), which represents T<2.4% words<RT. To clarify, “tokens” refer to the total number of running words, and “types” refer to the total number of different words present in the text. Tables **2.2** and **2.3** reveal overall information (column 1) about the T and the RT respectively, and also of individual chapters (from column 2 to 8).

The next subsection (**3.4 Corpus Processing**) describes the criteria used for selecting and collecting data.

### **3.4 Corpus Processing**

The purpose of this subsection is to give an account of the criteria established for data collection and explain how it was done. Therefore, it is divided in three parts: **3.4.1 Criteria for Data Selection**, which describes and discusses theoretical and empirical issues for selecting data; **3.4.2 Data Collection**, which reports the how of it step by step; and **3.4.3 Annotation of Data – SFL Categories**, which explains the insertion of labels with the categories of SFL.

#### **3.4.1 Criteria for Data Selection**

Here the general objective of this thesis is recalled: to investigate how the *mestiço* is represented in the textualisation (T) and re-textualisation (RT) of the study corpus. The representation of miscegenation is scrutinised by means of Halliday’s (2004) Transitivity System. Therefore, this analysis is done at clause-level, which is the basic unit (Vasconcellos, 1997) of Functional Grammar, and language’s “locus for action” (Malmkjaer, 1998, p. 168).

In order to select clauses in which there are potential representations of miscegenation, some criteria were established to select **nodes** used for collecting those

clauses. These criteria follow four main veins, which give strength to one another: The author's own words on his work (Skidmore, 2005) (refer back to subsection **3.2.1 Corpus Purpose**); Scott's (1999) concept of **key-words** in WST, and detecting **key-words** with WST; and the concept of **lexical cohesion** by Bloor and Bloor (2004); and Social Psychology's Central Nucleus Theory of Social Representation (Villas Bôas, 2004; and Pavarino, 2003).

Then, I felt impelled to find other arguments which would provide solid grounds, that is, empirical data, to justify those choices other than just intuition. In (ii) WST (Scott, 1999, WST *Help* option), the *Keyword* tool is defined as "a program for identifying keywords in one or more texts. Key-words are those whose frequency is unusually high in comparison with some norm." Based on that, word lists of the study corpus were generated by WST's *WordList* tool. Those lists revealed most frequent words and the frequency of words in alphabetical order in the corpus under investigation. However, these results alone do not tell much. They should be compared with one or more reference corpora in order to verify what, in fact, stands out in relation to a corpus of more general language, that is, with corpora that encompass a broader range of genres.

Thus the reference corpora used was the well-known British National Corpus (BNC)<sup>17</sup>. Unfortunately it was not possible to handle the American National Corpus (ANC)<sup>18</sup>. There is an open version of the corpus which contains approximately 15,000,000 of words, but it is only accessed by the *ANC Tool*, whose beta version is still being tested. For the purpose of this study and due to time constraints, it had to be left

<sup>17</sup> See <http://www.natcorp.ox.ac.uk/corpus/index.xml> (retrieved on 15/8/08) for detailed information on BNC's design.

<sup>18</sup> See <http://americannationalcorpus.org/OANC/index.html#using> (retrieved on 17/8/08) for detailed information on the ANC's design. The website justifies the construction of ANC stating that "[the] American National Corpus (ANC) project is fostering the development of a corpus comparable to the British National Corpus (BNC), covering American English. Corpus-analytic work has demonstrated that the BNC is inappropriate for the study of American English, due to the numerous differences in the use of language." (Consult <http://www.americannationalcorpus.org/about.html>. Retrieved on 17/8/08.)

out. Therefore, as the BNC was the one at hand, here I present some relevant characteristics of its design:

Taxonomy	Classification	Details
Corpus Domain	General language	It contains both spoken and written language of all sorts of genres and registers.
Temporal restriction	Synchronic	It covers the twentieth-century.
Number of languages	Monolingual	Modern British English
Tokens	1,000,000 words	45,000-word samples from single-author texts

Table 2.5 – The BNC’s design

Even though it is not possible to download the BNC to create a word list (this procedure requires a license which is obtained under payment), it is possible to search the corpus. The webpage displays two pieces of information: the total frequency of the lexical item in the corpus, and 50 examples. In this way, the selected nodes were searched in the BNC, and their frequency in the BNC was compared to their frequency in the study corpus.

Table 2.6 below shows the frequency of selected nodes in the study corpus and in the referential corpora:

Node <sup>19</sup>	Study Corpus			BNC		
	Occurrences	Frequency		Occurrences	Frequency	
<i>color</i> *	00057	0.0810%	out of <b>70,362</b>	11,460	1.1460%	out of <b>1,000,000</b>
<i>mestiço</i> *	00032	0.0454%		000000	0.0000%	
<i>mixed blood</i> *	00035	0.0497%		000004	0.0004%	
<i>mulatto</i> *	00053	0.0753%		000008	0.0008%	
<i>non-white</i> *	00027	0.0383%		000049	0.0049%	

Table 2.6 – Frequency of nodes in the Study Corpus and in the Referential Corpus

Frequency for both corpora was calculated manually. Now observing the table above, one may argue that *color*\* has a considerably high rate of occurrences in the BNC.

<sup>19</sup> To see results visit the following hyperlinks:

‘color’ and ‘colour’ (respectively): <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=color> and <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=colour>

‘mestiço’: <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=mesti%E7o>. There were 38 occurrences of ‘mestizo’, Spanish word which corresponds to the mixture of Europeans and Indians (aboriginal people). See <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=mestizo> ).

‘mulatto’: <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=mulatto>

‘non-white’ and ‘nonwhite’ (respectively): <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=non-white> and <http://sara.natcorp.ox.ac.uk/cgi-bin/saraWeb?qy=nonwhite>. All webpages were last retrieved on the 18<sup>th</sup> of August, 2008.

However, not all occurrences refer to skin colour (and it is not possible to verify how many refer to skin colour because texts are not freely accessible), whereas all occurrences of *color*\* do in the study corpus. It is important to mention that there were 115 occurrences for *color* (North American English spelling) and 11,345 occurrences for *colour* (British English spelling). There are cases in which the BNC webpage showed *color* and *colour* in the same excerpt, either presenting *colour* between parentheses, either explaining that *color* is a variant spelling of *colour*, as it is a British corpus. *Non-white*\* was searched as ‘non-white’ and ‘nonwhite’ in order to include all possible occurrences of the node. Finally, observing results obtained in **Table 2.6** above, it can be seen that differences in frequency rates are high, thus indicating that those lexical items may be worth looking at.

Along this line of reasoning, those **nodes** seem to establish a cohesive chain. Cohesive chains are formed by lexical items which relate to each other. The effect of this relation is called, in Functional Grammar, **lexical cohesion** (Bloor & Bloor, 2004). Among relations involved in lexical cohesion, there is **synonymy**, which is defined by Crystal (1997, p. 376) as

a major type of sense relation between lexical items (...). For two items to be synonyms, it does not mean that they should be identical in meaning, i.e. interchangeable in all contexts, and with identical connotations [...]. Synonymy can be said to occur if items are close enough in their meaning to allow a choice to be made between them in *some* contexts, without there being any difference for the meaning of the sentence as a whole.

The chosen **nodes** may not mean the same in all contexts, and they certainly do not bear the same connotations, but they all refer to the same reference, in SFL’s terms (Magalhães, 2005).

Social Psychology explains the relations among synonyms and lexical ties. **The Central Nucleus Theory of Social Representations** (originally developed by the

French social psychologist Moscovici, 1978) discusses that social groups share representations of reality. Social representations would be rendered in three dimensions (Moscovici, 1978 as cited in Villas Bôas, 2004). First there is the formulation of a concept, which derives from the input of information. Second there is the field of representation generated by that concept, which are images. Finally there is the third dimension which is attitude, that is, how the individual or the social group behave in response to those representations of reality. Those concepts would be constituted by a central system, which is more stable, and a peripheral system, which is composed by elements which are in constant modifications. The peripheral system may work as a protector of the central system, maintaining concepts generated by the central system, or, at times, altering them (Pavarino, 2003; and Villas Bôas, 2004). Now in terms of the present research the chosen nodes, which refer to the representation of a social group constructed by a long historical process, seem to hold the relation of a central nucleus and a peripheral system. They are tied throughout the texts spreading different meanings, and thus different images for the same image, or in Social Psychology's terms, the central nucleus.

Now after all this elaboration of the selection of nodes, the next subsection narrates how they were collected.

### **3.4.2 Data Collection**

Here the mechanical side of the selection of data is exposed. After selecting **nodes** for analysing sentences in which occurrences of *mestiço* and related lexical items appeared, it was time to collect data. Basically the main tools used to accomplish this task were WST's *Concord* and *Microsoft Word*'s everyday 'Find' command to compile all occurrences.

First the node *color\** was inserted in Concord. Concord enumerates all occurrences of the lemma<sup>20</sup> in the T. Then occurrences enumerated by Concord were searched in the aligned text in ‘.doc’ format, so that T and correspondent RT excerpts were organised in a table. The same was done with the nodes *mestiço\**, *mixed blood\**, *mulatto\**, and *non-white\**.

Second, after collecting data from chapter one to chapter seven, data were refined according to the following criteria: only attributes related to the entity “person” or “race” would be used. Interestingly, one hundred percent of occurrences found were related to entities related to “person” and/or “race”. Data were organized and compiled by chapters.

### 3.4.3 Annotation of data – SFL Categories

The last step of this methodology concerns the annotation of the corpus according to SFL categories. For such, I use here Feitosa’s (2005) an SFL-based proposal for annotating parallel corpora on a clause basis. The author developed successive prototypes for his MA thesis, being the last version CROSF-15 (Código de Rotulação Sistêmico-Funcional, or Systemic Functional Labelling Code). The code is inserted in the corpus between angled brackets, as suggested by TEI. This code has demonstrated to be applicable and efficient to SFL analyses in parallel corpora, as in Fleuri’s (2006) MA thesis.

In **Table 2.7** below, I show a model of the prototype:

<a	b	c	d	e	fg>
Theme/ Rheme	Position	Meta- function	Marked/ Unmarked	Participant/Process/ Circumstance	Type of Participant/Process/Circumstance
Type		Function			

**Table 2.7 –CROSF-15 model**

<sup>20</sup> “Lemma” (Crystal, 1997, p. 217) is used here according to lexicological terms. In other words, it refers to a lexical item which includes all its formal lexical variations. For example, the noun *color* subsumes *colored* and *coloreds*.

As shown, the prototyped is composed of 7 numerals. The first (position **a**), second (position **b**) and fourth (position **d**) digits refer to Thematic structures, which may be represented, respectively, by numerals from 0 to 6, from 0 to 9, and from 0 to 2 (see **Appendix 3** for a detailed description of numerical representation). For the purpose of this thesis, these digits (positions **a**, **b** and **d**) are always rendered as “0”, which means that those categories have not been analysed. The third digit (position **c**) refers to the metafunction under analysis, which may vary from 1 to 3 (see **Appendix 3** for a complete description of numerical representations). Yet, for the purpose of this thesis, position **c** is always rendered as “1”, which stands for the Ideational metafunction. Fifth, sixth and seventh digits (positions **e**, **f** and **g**) refer to the components of the metafunction under analysis (position **c**). In this way, all data has been labelled according to the following pattern: <0010efg>. This means that “efg” are the variables under analysis, and the first four digits (“0010”) remain constant.

Feitosa’s (2005) prototype seemed suitable for this thesis for two main reasons: it provides a simple and more universal way for categorising instead of using abbreviations which derivate from one specific language (as in the case of Eggins, 1994), and, by using *Concordance* or other software which count occurrences, it is possible to verify patterns in the data. These programs count the total number of equal labels present in the corpus, thus demonstrating textual trends.

CROSF’s sequences were placed in front of each participants and processes under analysis. The **Table 2.8** shows all possible tags for processes and participants investigated in the present study:

Potential Processes	Potential Participants
<0010310>: Material Process	<0010111>: Actor <0010112>: Goal <0010113>: Recipient <0010114>: Client <0010119>: Scope (Range)
<0010320>: Mental Process	<0010121>: Senser <0010122>: Phenomenon
<0010330>: Relational Process	<0010131>: Carrier <0010132>: Attribute <0010133>: Identified <0010134>: Identifier <0010135>: Token <0010136>: Value
<0010340>: Verbal Process	<0010141>: Sayer <0010142>: Receiver <0010143>: Verbiage (Range) <0010144>: Target
<0010350>: Behavioural Process	<0010151>: Behavior <0010152>: Behaviour (Range)
<0010360>: Existential Process	<0010161>: Existent

Complementary Labels

**Table 2.8 – Potential Processes and Participants**

These matters exposed, I will move on to **CHAPTER FOUR**, in which I discuss textual and contextual aspects of data analysis.



## CHAPTER FOUR

### Data Analysis

E só o papagaio *no silêncio* do Uraricoera preservava do esquecimento os casos e a fala desaparecida. Só o papagaio conservava no silêncio as frases e os feitos do herói. (Andrade, 1970, p. 222 as cited in Silva, 1979, p. 221, my italics)

#### 4.1 Introductory Considerations

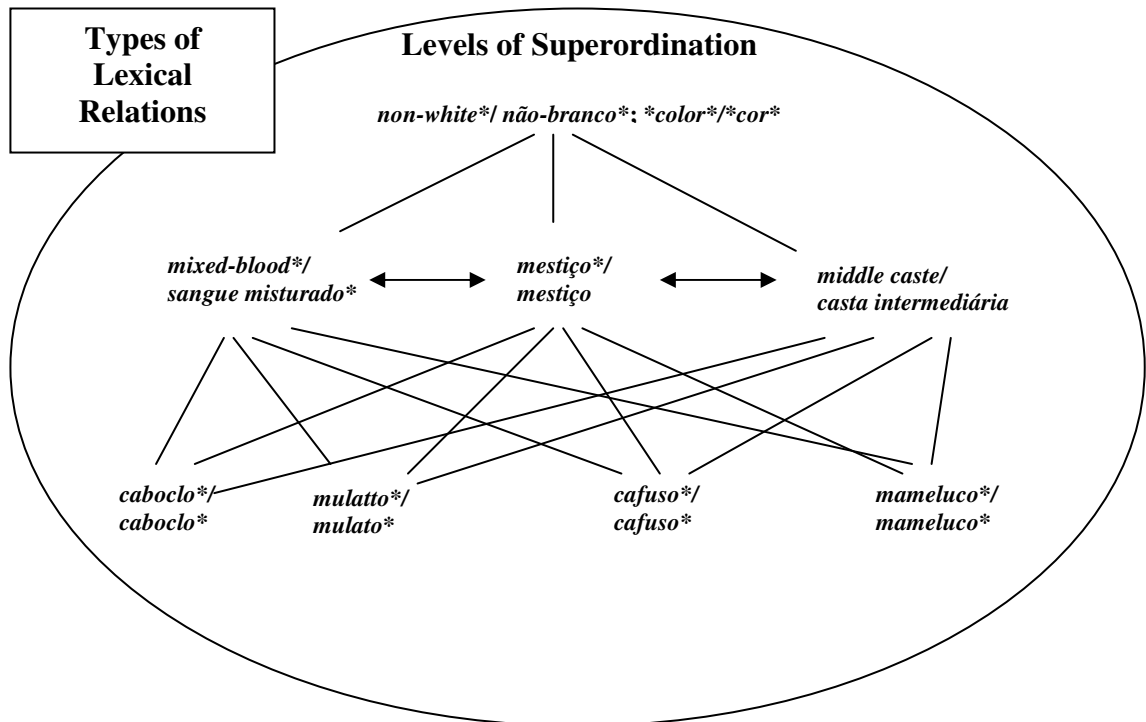
This chapter deals with exploring quantitative and qualitative results. The data analysis task was not a straightforward one. When I realised that too much detail would hinder the completion of this Thesis, I had to narrow down the level of delicacy of the analysis. This chapter, thus, narrates the mazes of data analysis. Some preliminary results obtained in order to guide data analysis have already been presented in **CHAPTER – THREE Method**. This chapter is organised in **4.2 Textual Discussion**, which presents data analysis based on Systemic Functional Grammar (SFG), and **4.3 Contextual Discussion**, which exposes Silva's (1979) contextualisation of the RT in Brazil.

#### 4.2 Textual Discussion

When analysing data, I perceived different voices speaking about the *mestiço*. Throughout the narrative, the narrator cites various authors who are important political figures of 1870-1930, among whom are some Brazilian writers, journalists and lawyers, European travellers, and other foreigners who have never visited the country. Unfortunately, the issue of different voices had to be left undiscussed as the present study does not encompass distinguishing among narrative levels, which would require appropriate theoretical methodological frameworks (for example, Leech & Short, 1983; Simpson, 1993; Simpson, 2004). Henceforth, I had to leave off the levels of narrative altogether and focus strictly on the status of clauses realising the transitivity of the entity

*mestiço* though I believe the issue merits further rigorous attention. I will, in a fashion similar to that of Malmkjaer’s (2000, p. 168), “concentrate on a unit of analysis that is clearly linguistic”.

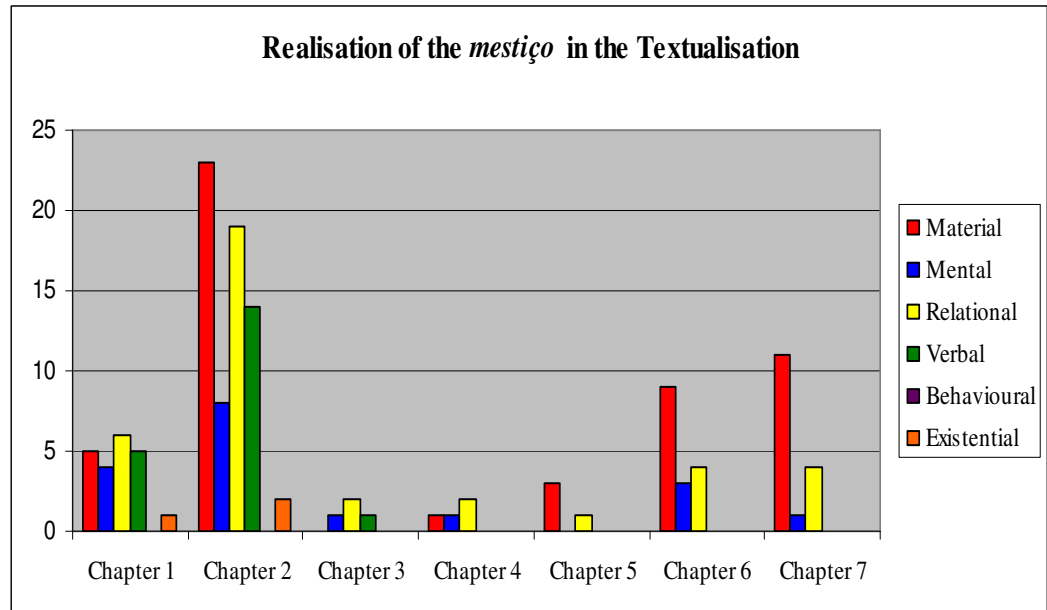
As elsewhere mentioned, the entity *mestiço* is realised in the text by a number of lexical items correlated in terms of synonymy, hyponymy, superordination, substitution, and ellipsis – the two latter types of relation being accounted for only within clause complex level (refer to subsections 2.3.2.1 and 2.3.2.2 to recall, respectively, lexical and grammatical relations). **Figure 4.1** illustrates the types of lexical relations found in the T and in the RT:



**Figure 4.1 – Types of Lexical Relations and Levels of Superordination**

The lexemes in **Figure 4.1** can be read as: those aligned horizontally are related in terms of synonymy; those aligned vertically are related in terms of superordination from a top-bottom perspective, and in terms of hyponymy if looked at from a bottom-top perspective (to recall the selection of units of analysis and criteria for data selection in more detail, refer to pages 35 and 59 of the present study).

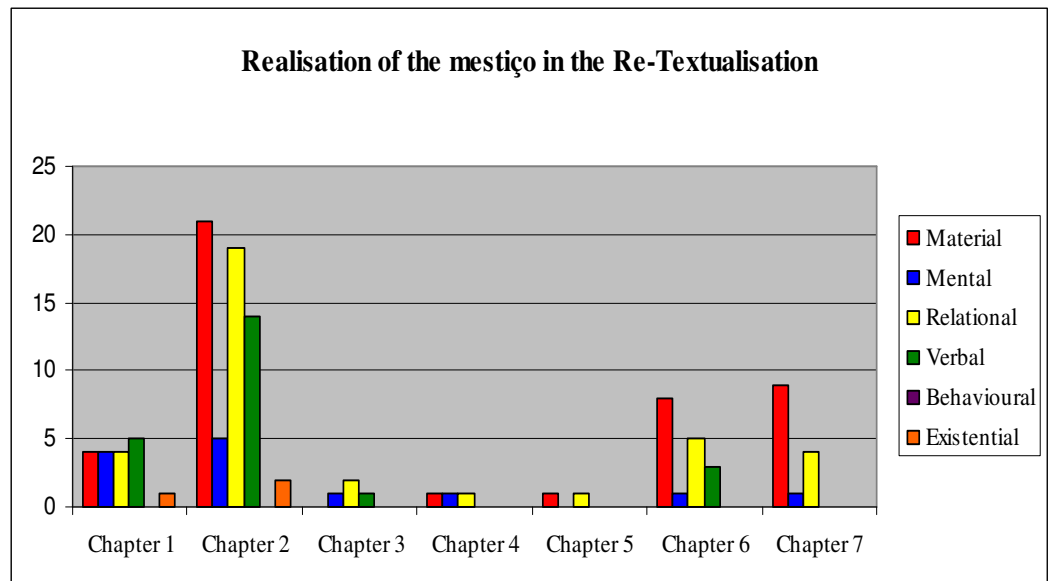
The entity *mestiço* is realised in patterns that change throughout the narrative, though in the overall scene there emerges a predominance of material processes. Pattern changes in the RT follow pattern changes in the T in such a way that T and RT seem very close in terms of experiential meanings. In order to visualise those patterns, **Figure 4.2** below shows a quantitative overview of processes found in the Textualisation (T):



**Figure 4.2 – Patterns of processes in the T realising the *mestiço***

In the Textualisation, out of 131 processes employed to represent the entity *mestiço* either as Head of the nominal group, Quality or Classifier as person, group of people or racial category, 52 are material processes, accounting for 39.7% of all processes. Second, the entity *mestiço* is realised by relational processes (29%); third, verbal processes (15.3%); fourth, mental processes (13.7%); and fifth, existential processes (2.3%) are used to represent the *mestiço* (refer to **Appendix 4** for a table with quantitative results).

Results obtained for the RT followed a pattern similar to the T's. This can be seen in **Figure 4.3** below:



**Figure 4.3 – Patterns of processes in the RT realising the *mestiço***

The Re-Textualisation presents fewer processes than the T. Whereas the T realises the *mestiço* in 131 processes, the RT realises the *mestiço* in 119 processes. Even so, those numbers do not represent a change in the patterning of processes. Out of the total sum of processes in the RT, 44 are material processes, corresponding to 37% of all processes, similarly to the findings in T. Following the same pattern obtained for the T, the *mestiço* is realised second by relational processes (30.3%); third, verbal processes (19.3%); fourth, mental processes (11%); and fifth, existential processes (2.5%). Similarly to the T, the RT does not present any occurrence of behavioural processes in the realisation of the entity *mestiço*.

As **Figure 4.2** and **Figure 4.3** above show, the *mestiço* is realised in different experiential configurations by different patterns of processes. At times, the *mestiço* seems to be more related to the physical world, especially in chapters 2, 6 and 7 of both T and RT<sup>21</sup>. At times, there seems to be more emphasis on defining the *mestiço* or attributing characteristics to him by means of relational processes, especially in chapter

<sup>21</sup> In broad terms, Chapters 2 (“Racial Realities and Racial Thought after Abolition”), 6 (“The Whitening Ideal after Scientific Racism”), and 7 (“Epilogue: Whitening – an Anachronist Racial Ideal”) describe the “whitening” theory which proposed that European migration to Brazil “would help to speed up the “whitening” process” in the country (Skidmore, 2005, p. 25).

3<sup>22</sup>. Verbal and mental processes also seem to play an important role in representing the *mestiço*. Now the question stands as regards (i) whether the *mestiço* is represented as a more active or passive character; (ii) the type of attributes s/he is assigned; (iii) what social roles s/he is playing. With those questionings in mind, I turn to a closer look at processes and participants so as to understand and describe the subtleties involving the representation of the *mestiço*.

As mentioned above, besides the narrator's voice, other voices are quoted throughout the narrative, which participate, so to speak, in the construal of the entity *mestiço*. Those voices include important Brazilian political figures and foreigners, mainly Europeans, who believed in racial doctrines, such as Determinism and Aryanism. All quotations are, most probably, translated from Portuguese into English when quoting Brazilian political figures in the T. In the RT, there are neither footnotes nor a preface written by the translator –which does not comply with the conventions in the so called academic writing, where sources are acknowledged. Therefore, I infer that the translator has translated quotations present in T without further considerations. (Refer to **Figures 4.7-4.8** and **Tables 4.3-4.4**<sup>23</sup> in **Appendix 5** for tentative graphs of patterns of processes in citations in the T and in the RT).

Analysing the status of clauses that realise the *mestiço* provided interesting hints for instances in which the entity is represented by the narrator in contrast with instances in which the entity is represented in citations. Among all clauses analysed, the *mestiço* is predominantly realised in dependent clauses. Among dependent clauses, 69% corresponds to hypotactic clauses (66% in the RT), 31% (36% in the RT) corresponds to

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<sup>22</sup> Chapter 3 (“Politics, Literature, and the Brazilian Sense of Nationality before 1910”) describe the political panorama of Brazilian New Republic and Deterministic theories which were based on categorising races in terms of a superior-inferior relation.

<sup>23</sup> It may be important to make clearer that **Figures 4.2-4.3** and, consequently, **Appendix 4** include **all** occurrences in which the *mestiço* is realised: they include the representation of the *mestiço* by the narrator and by other voices, i.e. in citations.

projected clauses. These numerical turbulences may indicate different levels of narration. Occurrences of the *mestiço* in independent clauses indicate moments in which the entity is constructed as a priority in the text, mainly in the voice of the narrator, whereas hypotactic clauses indicate that the *mestiço* is realised on a second plane, being, consequently backgrounded, either in the voice of the narrator or in other voices, and projected clauses most probably indicate that the *mestiço* is being realised by other voices.

Having shown and discussed quantitative aspects of the data, I now turn to qualitative aspects, and to do so, I recall the objectives of the present study:

- (i) To describe the textualisation of Brazilian entity *mestiço* in the T, *Black into White: Race and Nationality in Brazilian Thought* (BW), and in its RT, *Preto no Branco: Raça e Nacionalidade no Pensamento Brasileiro* (PB); and
- (ii) To connect textual findings obtained from the description aforementioned with contextual motivations.

The following subsections are subdivided according to the processes in the transitivity configuration of the text connected with representations of the *mestiço*. For didactic purposes, analytical units are highlighted in the following way: the nominal groups under focus are in italics, and the processes at stake are underlined.

#### **4.3.1 Material processes: the *mestiço* in the physical world**

Although the patterns of process alter throughout the narrative, material processes stand out quantitatively. In every chapter in which there are material processes, they represent the highest number of occurrences. Now how do material processes construe the *mestiço*?

#### 4.3.1.1 The *mestiço* as Actor

The *mestiço* is construed as **Actor** in approximately 24% of all its occurrences as a participant in the T and in 21.8% in the RT. This is a very high score compared to the 15 other types of participants<sup>24</sup>. If considering only material processes, the *mestiço* is an Actor in 67.5% of all material processes realised in the T and in 59.5% in the RT. To recapitulate the notion of Actor in SFL, I quote Halliday and Matthiessen (2004, p. 180), “this participant brings about the unfolding of the process through time, leading to an outcome that is different from the initial phase of the unfolding.” In other words, the Actor does something in the physical world that affects either the physical world itself or another participant.

Below I list some examples extracted from the corpus of the *mestiço* as an Actor:

(T) *The free colored population had apparently grown* very rapidly in the nineteenth century.

(RT) *Aparentemente, a população livre de cor crescera* muito depressa no séc. XIX.

Excerpt 4.1 – Chapter 2

(T) During the intervening half-century *the free colored population grew* to 42 per cent of the total population, while the slaves dwindled to less than 16 per cent.

(RT) *Durante o seguinte meio século essa população livre de cor aumentou* para 42% da população, enquanto que a população escrava ficou reduzida a menos de 16 por cento.

Excerpt 4.2 – Chapter 2

(T) Even allowing for the inaccuracies inherent in the Brazilian data (such as classifying mixed-blood children differently from their mothers), demographers have concluded that the black population *reproduced* at a slower rate after abolition than *the mulatto and the white* Ø.

(RT) Mesmo considerando as inexactidões dos dados estatísticos brasileiros (como o classificar crianças de sangue misturado em grupo diferente do de suas mães), os demógrafos concluíram que a população preta *reproduziu-se* num ritmo mais lento depois da Abolição do que *a branca e a mulata* Ø.

Excerpt 4.3 – Chapter 2

(T) During the intervening century the white population would supposedly rise to 80 per cent, while the Negro *fell to* zero, *the mestiço* Ø to 3 per cent (from an estimated 28 per cent in 1912), and the Indian rose to 17 per cent (from an estimated 13 per cent in 1912).

(RT) *Durante o século intermediário, a população branca subiria a 80% enquanto a negra cairia para zero e a mestiça para 3 %* (de uma estimativa de 28%, em 1912). *A população índia subiria a 17 %* (de um total estimado de 13%, em 1912).

Excerpt 4.4 – Chapter 2

<sup>24</sup> The *mestiço* was realised as Goal, Recipient, Scope, Senser, Phenomenon, Carrier, Attribute, Token, Value, Sayer, Receiver, Verbiage, Target, Locution, and Existent. There were no constructions of the *mestiço* as Client, Behavior nor Behaviour. See **Appendix 6**.

In the excerpts above, the *mestiço* is the Actor of creative processes, which means that the Actor itself is “the outcome” of the process of “coming into existence” (Halliday & Matthiessen, 2004, p. 184). Pursuing this further, creative processes do not represent an active transformation of the world, but it simply signals existence, opposed to transformational processes which alter the external world. Note that all excerpts belong to chapter 2 “Racial thought and racial realities after abolition”/ “Realidades raciais e pensamento racial depois da abolição”, a chapter very much concerned with demographic rates, which might explain the occurrences of creative material processes (as above listed, e.g.: grew, reproduced, fell to).

Now consider excerpt 4.5:

(T) *Free coloreds* had succeeded in gaining a considerable occupational mobility - entry into skilled occupations and even occasionally prominent positions as artists, politicians, and writers - while slavery was still dominant through out the country.

(RT) Ø Haviam conseguido atingir considerável mobilidade ocupacional – admissão a ocupações especializadas e, até, ocasionalmente, a posições preeminentes como artistas, políticos e escritores – enquanto a escravidão era, ainda, dominante em todo o país.

Excerpt 4.5 – Chapter 2

In 4.5, I considered gaining in the T and atingir in the RT as the Events of, respectively, had succeeded in gaining and haviam conseguido atingir. The Events construing the entity in the T and RT are modalized by the auxiliaries had succeeded and haviam conseguido. Modalization may have been employed there in order to attenuate the action performed by the *mestiço*.

(T) The conclusions he drew from history, however, showed him to be well on the way toward a new rationale for Brazil's racial past: (1) the Latin peoples, far from having proved weak, had made a healthy contribution to Brazil's growth; (2) *the Brazilian mestiço* had also contributed mightily by settling and unifying the country; and (3) the war had revealed Europe to be aged, thereby leaving greater opportunities to the young countries such as Brazil.

(RT) Ademais, as conclusões que tirava da História mostravam-lhe estar bem adiantado no caminho de uma nova interpretação do passado racial do Brasil: 1. os povos latinos, longe de se terem mostrado fracos, haviam feito saudável contribuição ao crescimento do Brasil; 2. *o mestiço brasileiro* tinha também contribuído enormemente para o desbravamento e a unificação do país; e 3. a guerra tinha revelado que a Europa envelhecera, o que dava maiores oportunidades aos países jovens como o Brasil.

Excerpt 4.6 – Chapter 5



In 4.6, the narrator is talking about someone (Basílio de Magalhães, a member of the Brazilian elite, who, using Skidmore’s formulation (2005, p. 165), wrote geography and history school books) who drew conclusions from history about the way Latin peoples and *mestiços* contributed to “Brazilian racial past” (cf. 4.6 (T)). The *mestiços*’ contribution is stated in an embedded clause, whose verbal group’s Event is *contributed*. In the RT, the action that elaborates *contruibuíram* is nominalised – the non-finite verbs by settling and unifying are nominalised into the nouns “o desbravamento” and “a unificação” in the RT, construing a grammatical metaphor<sup>25</sup>.

(T) In furnishing his detailed picture of this intensely patriarchal ethos, Freyre dwelt on the manifold ways in which *the African and mulatto* deeply influenced the life style of the planter class, in food, clothing, and sex.

(RT) Ao pintar seu minucioso, retrato desse ethos intensamente patriarcal, Gilberto Freire tratou das inumeráveis maneiras pelas quais *tanto o negro quanto o mulato* influenciaram profundamente o estilo de vida da classe dos fazendeiros, em matéria de comida, indumentária e sexo.

#### Excerpt 4.7 – Chapter 6

In 4.7, the material processes that realise *the African and mulatto* are creative, thus the action under focus does not affect the external world. However, it is important to observe that the narrator is paraphrasing Gilberto Freyre’s words, thus, adopting Freyre’s perspective and applying it to his own perspective, and, the influence of *the African and mulatto* is realised in hypotactic relation with “Freyre dwelt on the manifold ways”/ “Gilberto Freire tratou das inumeráveis

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<sup>25</sup> To Halliday (1985, p. 321), grammatical metaphor is the opposite of a congruent realization in the lexicogrammar. There are two main types of grammatical metaphors: the interpersonal metaphor and the ideational metaphor, which corresponds to the grammatical metaphor identified in Excerpt 4.6. Halliday (1987) suggests a framework for interpreting clause ideationally: (i) by means of identifying process type; (ii) by means of identifying participants and circumstances involved in the representation of the process; and (iii) by means of identifying group classes (i.e. verbal or nominal groups etc.). This framework suggests what would be a typical configuration of clause. In this sense, any configuration different from that framework would correspond to a metaphor. There is a systematic relation established among (i), (ii) and (iii), “that for any selection of meaning there will be a natural sequence of steps leading towards its realization” (ibid). In this sense, the realisation of the clause in the re-textualisation is incongruent in relation to the textualisation as it presents a different configuration: whilst the T represents reality in terms of three material processes (contributed, settling and unifying), the RT condenses those processes into one (contruibuíram) and construes the elaborative actions of settling and unifying as nominal groups.

maneiras”. In this way, once again, the action of the entity *mestiço* is backgrounded by the narrator.

(T) African black nationalism has been paralleled by powerful nationalist movements (seldom couched in racial terms) in Southeast Asia, where *non-white rebels* have overthrown European rule in virtually every country.

(RT) O nacionalismo negro africano tem visto emulado por outros poderosos movimentos nacionalistas (raras vezes formulados em termos raciais) no Sudeste da Ásia, onde *rebelde não-brancos* puseram abaixo a estrutura europeia do poder, numa ação descolonizadora.

**Excerpt 4.8 – Chapter 7**

In 4.8, the narrator uses the lexeme *non-white*, a superordinate for *mestiço*, which encompasses Africans, mestiços and Latins in general in a broader category. The Narrator construes this entity using a creative material clause, which is, once again backgrounded in a hypotactic clause.

However, all that relative creative power costs making up one’s appearance:

(T) Origin could still be thought important in Brazil. *Upwardly mobile mixed bloods* often took great pains to conceal their family background.

(RT) As origens podiam ainda ser tidas por relevantes uma vez que *os mestiços* – *em ascensão social* – davam-se a grande trabalho para esconder os seus antecedentes fenotípicos.

**Excerpt 4.9 – Chapter 2**

Here it is possible to note a special class of *mestiços* specified by the Classifier of the nominal group of the T in italics and the Qualifier of the nominal group of the RT. The special condition of some *mestiços* is also expressed by the employment of a proper noun that serves to individualise some of them:

(T) In the early 1890’s *Nina Rodrigues*, a young mulatto doctor, won a chair there.

(RT) No começo da década de 90, *Nina Rodrigues*, jovem doutor mulato, conquistara uma cátedra ali.

**Excerpt 4.10 – Chapter 2**

(T) Scientific evidence against theories of inherent racial differences was offered also by *Juliano Moreira*, a mulatto psychiatrist who was an important figure in establishing psychiatry as a field in Brazil.

(RT) As provas científicas contra as teorias das diferenças raciais inatas eram dadas por *Juliano Moreira*, o psiquiatra mulato que fora figura tão importante no estabelecimento de psiquiatria no Brasil.

**Excerpt 4.11 – Chapter 6**

Readers learn those Actors are mulattoes because of the explanatory commentary which functions as a postmodifier of the nominal group *Nina Rodrigues* and *Juliano Moreira*.

The narrator seems to obey the pattern Thing (proper name) + Qualifier (apposition) to introduce *mestiços* as individuals in the narrative, as opposed to massified members of a racial class.

Throughout the corpus, the narrator is observed to cite other voices that also take part in the realisation of the *mestiço*:

(T) His aesthetic sense was offended by “a population totally mulatto, vitiated in its blood and spirit, and fearfully ugly”.

(RT) Seu senso estético ofendia-se com o espetáculo de “uma população totalmente mulata, viciada no sangue e no espírito e assustadoramente feia”.

Excerpt 4.12 – Chapter 1 - Gobineau

In 4.12 *a population totally mulatto* is the Actor of a passive material process (vitiated) that is embedded in the main clause of a verbal process (“offended”). Thus the entity offends one’s “aesthetic sense”. 4.12 is a quotation from Gobineau, a French diplomat who resided in Brazil (cf. Skidmore, 2005, p. 29). He, who detested being in Brazil, was a supporter of racial determinism, and he made the effort of living in the country due to political aspirations (cf. *ibid*, p. 30). He published essays about the superiority of the whites and inferiority of “colored” people, hence the repudiation of Brazilian population.

(T) He was constantly helped in the process by *the mestiço, his son and his collaborator* who ended up replacing him, Ø assuming his color and his power”.

(RT) Nesse empenho Ø foi sempre ajudado pelo *mestiço, seu filho e seu auxiliar*, que acabará por suplantá-lo, Ø tomando-lhe a cor e a preponderância”.

Excerpt 4.13 – Chapter 1 – Sílvio Romero

In 4.13, the Actor *mestiço* is backgrounded in the T and in the RT by the passive construction of helped in and ajudado to which the actions of replacing, assuming, suplantando and tomando are linked – also backgrounded – in hypotactic relations as embedded clauses. “He” is the white man, the coloniser, whose son is a result of the ethnic fusion. Excerpt 4.13 portrays Romero’s view of the *mestiço*. Similarly to Gobineau, he was a determinist, but also a nationalist who believed Brazilian society would benefit from the mixing of bloods due to the *mestiço*’s alleged adaptation to the “oppressive” climate of the country.

(T) Then he continued: "Fortunately there is no race prejudice in Brazil and one sees *colored men* marrying white women and vice versa, with the result that the black population is declining extraordinarily.

(RT) E continuava: "Felizmente não há preconceito racial no Brasil. Ø Vêem-se *homens de cor* casando com mulheres brancas e vice-versa, de maneira que a população negra tende a diminuir extraordinariamente.

**Excerpt 4.14 – Chapter 4 – Domingos Jaguaribe**

In **4.14** *colored men* and *homens de cor*, superordinates for *mestiço*, which possibly refers to blacks, Indians or mestiços, are the Phenomenon of the primary clause ("sees" and "vêem-se"), and the Actors of marrying and casando in an embedded clause. Jaguaribe ("he"), the Sayer of the excerpt above, was a nationalist who defended Brazilian image when Europeans accused indigenous people of spreading disease among the whites who came into the country (Skidmore, 1976, p. 147; 2005, p. 129). In the fight against European opinions, Jaguaribe supported mixtures as an alibi to 'whiten' the country. Once again there emerges the urgency for whitening as the means for fostering development in Brazil – and, once again, Jaguaribe's position pro-mixing was, above all, out of political interests.

(T) Even more relevant was Bevilacqua's observation that "as Oliveira Lima has noted, there is no danger that *colored immigrants* will come in numbers great enough to make them difficult to assimilate or to upset the normal development of our ethnic type". (In other words, black immigrants were no threat only because so few were likely to come.)

(RT) Ainda mais relevante era a observação do próprio Clóvis: "Como observa Oliveira Lima, não é de recear que venham *esses imigrantes de cor* em massa tão grande que dificilmente possam ser assimilados ou que perturbem a evolução normal do nosso tipo étnico". (Em outras palavras, os imigrantes pretos só não constituíam ameaça por ser tão remota a possibilidade de que viessem em grande número.)

**Excerpt 4.15 – Chapter 6 – Clóvis Bevilacqua**

**Excerpt 4.15** is a very intricate one: the Narrator is quoting Clóvis Bevilacqua, who, in turn, is commenting on Oliveira Lima's observation. Once again, the *mestiços* (*colored immigrants* and *imigrantes de cor*) are the Actors of a hypotactic clause.

In essence, the *mestiço* tends to be realised as Actor in secondary clauses – the only instance when the *mestiço* was realised in a primary clause was as Phenomenon –, either in hypotactic or in embedded clauses.

#### 4.3.1.2 The *mestiço* as Goal

The *mestiço* is construed as **Goal** in approximately 8.9% of all its occurrences as a participant in the T and in 8.9% in the RT. That is fairly close to the score obtained for its representation as Attribute. The *mestiço* is Goal in 25% of all material processes in the T and in 24.3% in the RT. As Halliday and Matthiessen (2004, p. 181) make clear in a footnote, **Goal** is “the goal of impact”; (...) [not] the destination of motion through space.” In affirming so, the **Goal** suffers an action performed by the Actor through the process.

The excerpts below illustrate the construal of the *mestiço* as **Goal**:

(T) After all this, Soares turns out to be endorsing the usual "whitening" ideal for Brazil, i.e., *the man of color can be elevated* – but only by a great investment of effort.

(RT) Depois de tudo isso, Hermann Soares revela-se partidário do ideal comum do "branqueamento" para o Brasil, isto é, *o homem de cor pode ser elevado* – mas só por um maior investimento de esforço.

Excerpt 4.16 – Chapter 2

The clause complex above speaks of the possibility of the *mestiço*'s social ascension. *The man of color* and *o homem de cor* are realised in a paratactic elaboration where an elliptical Actor elevates the *mestiço*. The action of elevating is not directly brought about by the *mestiço* (note the verb in passive voice in both T and RT), and, consequently, the possibility of his social ascension is dependent upon exterior forces.

(T) In fact, white American society *had simply pushed its mixed bloods* back down into the "Negro" category.

(RT) Na verdade, a sociedade branca norte-americana *tinha simplesmente empurrado seus mestiços* para a categoria inferior de "negros".

Excerpt 4.17 – Chapter 2

In 4.17 the RT chooses the synonymic lexeme *mestiços* instead of *sangues misturados* for the translation of *mixed bloods*. The Goal is affected by the action of being pushed by “white American society”/ “a sociedade branca norte-americana”.

(T) Azevedo Amaral, a prominent newspaper editor and strong advocate of the now increasingly anachronistic scientific racist position, presented a ten-point program which included a proposal *to bar all non-white immigrants*.

(RT) Azevedo Amaral, conhecido editor de jornais e importante advogado da posição racista, cada dia mais anacrônica, apresentou um programa em dez pontos que incluía uma proposta para barrar toda e qualquer imigração não-branca.

Excerpt 4.18 – Chapter 6

In 4.18 the narrator refers to Azevedo Amaral's programme in the foreground and realises the *mestiço* in the background by the process to bar/ para barrar which is linked to the nominal group “a proposal”/ “uma proposta” in hypotactic relation. The Goal *all non-white immigrants/ toda e qualquer imigração não-branca* is far from being the prominent piece of information as it is simply part of the description of Amaral's programme (represented in hypotactic relation).

(T) “Our national problem is not transforming *mestiços* into whites. Our problem is the education of those who are here, whether light or dark”.

(RT) “O problema nacional não é transformar *os mestiços do Brasil* em gente branca. O (...) problema é a educação dos que aí se acham, claros ou escuros”.

Excerpt 4.19 – Chapter 6 – Roquette-Pinto

Excerpt 4.19 is a quotation from Roquette-Pinto, a Brazilian anthropologist of the thirties (cf. Skidmore, 2005, p. 185), who tackles the issue of the whitening deal in Brazil. Interestingly the T refers to the *mestiços* plainly as *mestiços*, whereas the RT qualifies the *mestiços* with the post-modifier *do Brasil*<sup>26</sup>. The processes transforming/ transformar are in hypotactic relation with the relational process “is not”/ “não é”. Again the *mestiços* are backgrounded being realised in a dependent clause. In terms of context, at that time, in 1911, according to estimates (cf. *ibid*, p. 187; 1976, p. 206), Brazil was already 50% whiter than when the census had started. Roquette-Pinto, in defending that education was more important than skin colour, an apparently anti-racist conduct, was doing nothing more than replicating the USA, which had just implemented a new education system for blacks (cf. *ibid*).

This illustrated, the following subsection speaks of the *mestiço* as Recipient.

<sup>26</sup> As aforementioned, the citation of a Brazilian anthropologist in the T is most probably a translation from Portuguese. However, it is not possible to affirm that the citation of the RT is a translation of the translation of the T or if it corresponds to the original in Portuguese – as the translator of the RT did not provide a translator's preface or translator's footnotes for PB.

### 4.3.1.3 The *mestiço* as Recipient

The *mestiço* was realised as Recipient very few times. Its realisation corresponds to about 1.8% of all types of participants in the T and 4% in the RT. There are some significant new language constructions (NLC) in the nominal groups of the RT which will be dealt with in **4.4 New Language Constructions (NLC)**. To recall the nature of the **Recipient**, it is the participant in the material clause to whom the ‘goods’ are given (cf. Halliday & Matthiessen (2004), p. 191).

The following excerpt illustrates the entity realised as Recipient:

(T) No special provisions have been made or even considered for giving *non-whites* the benefit of "affirmative action" programs that would require employers to prove that they have honestly tried to locate and consider non-white applicants for jobs.

(RT) Não foram tomadas, ou sequer consideradas, provisões específicas para dar *aos não-brancos* o benefício de programas de "ação positiva" que exijam dos empregadores prova de haverem tentado encontrar e aproveitar candidatos de cor.

Excerpt 4.20 – Chapter 7

In **4.20**, *non-whites/ não-brancos* are the potential receivers of a benefit. However the negative polarity of the independent clause “No special provisions have been made or even considered”/ “Não foram tomadas, ou sequer consideradas, provisões específicas” denies the hypotactic action for giving/ para dar. In this clause, the entity *mestiço* is realised on a secondary plane as it is the participant of a hypotactic clause.

### 4.3.2 Mental processes: the *mestiço* in the internal world

Mental processes realise the *mestiço* in are present in 13.7% of processes in the T and in 10.9% of processes in the RT. Mental processes are, thus, the third most frequent type of process in the entire narrative, and they construe “a quantum of change in the flow of events taking place in our own consciousness” (Halliday & Matthiessen (2004), p. 197).

### 4.3.2.1 The *mestiço* as **Senser**

The *mestiço* is construed as **Senser** in approximately 2.7% of all types of participants in the T and in about 2% in the RT. That corresponds to only 18.8% of all mental processes in the T and to 15.4% in the RT. The **Senser** is described by Halliday and Matthiessen (2004) as a human participant, or ‘human-like’, and that it is “is construed as being endowed with consciousness” (p. 203).

The excerpts below show occurrences of the *mestiço* as **Senser**:

(T) And such behavior suggests that *a mulatto*, whose phenotypical features had given him his desired social access, felt insecure enough to believe his mobility would have been endangered by having his social status redefined because of his family origin.

(RT) Tal comportamento sugere que *um mulato*, a quem os traços fenotípicos tinham permitido o desejado acesso social, podia sentir-se ainda suficientemente inseguro para temer que a sua vivência na sociedade pudesse ficar ameaçada por uma redefinição de status com base nas raízes familiares.

Excerpt 4.21 – Chapter 2

In 4.21 there are two mental processes in the T which are re-textualised as mental processes as well. It is important to observe that those mental processes are part of a projected clause complex that derives from the verbal processes “suggests that” in the T and “sugere que” in the RT. The *mulatto*, in a broad and general sense, is construed by the verbal groups felt in the T and modalized in the RT podia sentir-se, which represents an emotional character insecure of the entity’s own social position. The entity’s perception of the world is realised as the perception of one who ‘believes’ in English, whereas it is realised as the perception of one who ‘fears’ in Portuguese (“temer” seems to carry a different semantic load from “believe”).

(T) Here *the mulatto*, beginning with the second generation, wants to be white and the white man, harboring no illusions and with some insignificant exceptions, welcomes, esteems, and joins with him.

(RT) Aqui *o mulato*, a começar da segunda geração, quer ser branco, e o homem branco (com raras exceções) (...) acolhe-o, estima-o e aceita-o no seu meio.

Excerpt 4.22 - Chapter 2 – José Veríssimo

4.22, a quotation from José Veríssimo, wants is a desiderative mental process which projects the macrophenomenon (i.e. it projects an act) “to be white”/ “ser branco”. Once again, the node is not on the foreground of the clause complex as the excerpt is part of a



long quotation cited by the narrator (T – “José Veríssimo, the noted literary critic, praised the work and added:”/ RT – “José Veríssimo, o conhecido crítico literário louvou o trabalho e acrescentou:”). Thus when José Veríssimo claims the mulatto wants/ quer “to be white”/ “ser branco”, that sounds much as a reaffirmation of the narrator’s opinion that social acceptance varied according to being “lighter”.

#### 4.3.2.2 The *mestiço* as Phenomenon

The *mestiço* was construed as **Phenomenon** in about 81.2% of all mental processes in the T and in 84.6% in the RT. Differently from the Senser, the **Phenomenon** needs not to have any trace of consciousness. It encompasses a much wider set of participants which may be a thing, a fact or an act (cf. Halliday & Matthiessen, 2004, p. 203). It may be subdivided in two types: the macrophenomenal, in which the Phenomenon is an act, and the metaphenomenal, in which the Phenomenon is a fact (cf. *ibid*).

The following excerpts illustrate the *mestiço* as **Phenomenon**:

(T) European science tended to denigrate *human mixed bloods* as weak and potentially sterile.

(RT) A ciência européia continuava a renegar *sangues humanos misturados* como fracos e potencialmente estéreis.

Excerpt 4.23 - Chapter 1

In 4.23, the verbal groups underlined were considered phased-processes. As phased-process, tended and continuava elaborate, respectively, the main verbs denigrate and renegar time-wise. However, there is a subtle difference between the two: in the T, tended denotes inclination and disposition<sup>27</sup>, whereas continuava denotes endurance and expansion<sup>28</sup>. *Human mixed bloods/ sangues humanos misturados* are the metaphenomena represented by “European science”/ “A ciência européia”. In this example, the representation of the entity *mestiço* is realised by perceptive mental process construes it by means of despise.

<sup>27</sup> Cf. <http://dictionary.reference.com/browse/tend?qsrc=2888> Retrieved on 9 March, 2009.

<sup>28</sup> Cf. <http://dictionary.reference.com/browse/continue?qsrc=2888> Retrieved on 9 March, 2009.

(T) *The free man of color*, who existed at every level of Brazilian society, was conspicuously ignored by the Romantic authors.

(RT) *O homem livre de cor*, que existia em todos os níveis da sociedade brasileira, era conspicuamente ignorado pelos escritores românticos.

Excerpt 4.24 – Chapter 1

In 4.24, the collocation *the free man of color/ o homem livre de cor*, which, as a superordinate for *mestiços*, encompasses both blacks and mestiços, is realised by cognitive mental processes in passive voice both in the T and in the RT.

(T) *These mixed bloods* were then regarded as lost to the superior race – a process which, if miscegenation were practiced on any large scale, could mean a serious threat to the numerical dominance of the "superior" race.

(RT) *Os mestiços* eram olhados como perdidos para a raça superior – um processo que, se a miscigenação fosse praticada em larga escala, poderia vir a ameaçar seriamente a predominância numérica da raça “superior”.

Excerpt 4.25 – Chapter 2

In excerpt 4.25, the *mestiço* is realised in an independent clause as a perceptive mental process realised in passive voice (whose Senser is probably “the superior race”/ “a raça superior”). The mental process is, both in the T and in the RT, a lexical metaphor of “regard”/ “olhar”, as the Phenomenon was not literally ‘looked at’. Once more, the RT chose to use *mestiços*, which stands in a synonymical relation with *mixed bloods*, instead of *sangues misturados* for the translation of *mixed bloods*.

(T) Commenting on the uproar provoked in the Brazilian press by a Belgian's report that she had seen *Negroes and mulattoes even in the larger cities in Brazil*, he noted sarcastically, “Suddenly the country has aryanized itself.”

(RT) Comentando a grita provocada na imprensa brasileira – pela afirmação de um belga de que vira *negros e mulatos mesmo nas grandes cidades do Brasil* –, observou sarcasticamente: “A nação arianizou-se de repente”.

Excerpt 4.26 – Chapter 2

Excerpt 4.26, as well as 4.25, is a perceptive mental process (this time, in the literal sense). Here the narrator speaks of Sílvio Romero, who, in turn, speaks of a Belgian (who, by the way, is a “she” in the T, and mistakenly becomes a “he” – “um belga” – in the RT), who is referred to in a projected clause. The sarcasm and anonymous status of the Belgian that is reported in the excerpt above reveal traces of mockery playing down the *mulattoes*.

(T) Finally, the elite found it easiest to visualize the native-born Brazilian, especially the mixed blood, in the terms of literary Romanticism, as an uncertain man, lost in the vastness of an overwhelming nature.

(RT) Finalmente, a elite achava mais fácil visualizar o brasileiro nato, especialmente mestiço, em termos de romantismo literário, como um homem indeterminado, perdido na vastidão da natureza todo-poderosa.

Excerpt 4.27 – Chapter 3

Excerpt 4.27, as well as 4.25 and 4.26, is a perceptive mental process which is construed in the lexical metaphorical sense of the verb. The Phenomenon, a metaphenomenon, is realised in a dependent clause, which is the projection of the elite's opinion.

The excerpt below illustrates a citation from Perdigão Malheiros, a deputy from Minas Gerais, who represents the *mestiço* using only mental processes:

(T) Gentlemen, I know many individuals of dark skin. That is the truth.

(RT) Senhores, eu conheço muitos indivíduos de pele escura. Esta é a verdade.

(T) In the schools, higher faculties, and churches do we not see good colored students alongside our distinguished men?

(RT) Não vemos nas escolas, nas academias, nas igrejas, ao nosso lado, *homens distintos, bons estudantes, de pele de cor?*

(T) In Parliament, government, the Council of State, the diplomatic missions, the Army, and the public offices do we not see men whose skin is more or less dark, men of the *mestiço* as well as the African race?

(RT) Não vemos no parlamento, no governo, no Conselho de Estado, em missões diplomáticas, no exército, nas repartições públicas, *gente de pele mais ou menos escura, de raça mestiça mesmo com a africana?*

Excerpt 4.28 – Chapter 1 - Perdigão Malheiro

The entity *mestiço* is realised as Phenomenon in all mental processes, and it is described and categorised in terms of skin colour. As Sensors, there are “I”/ “eu”/“we”/ the elliptical “nós”; whereas, as Phenomena, in the T, the nominal group *good students* followed by the Circumstance *alongside our distinguished men*, which, in the RT, is confusingly translated as *homens distintos, bons estudantes, de pele, de cor*, thus *homens distintos*, a Circumstance in the T, becomes part of the Head of the nominal group in the RT. In respect to context, excerpt 4.28 is a quotation from Perdigão Malheiros. His argumentation, although attempting to free Brazilian society from any trace of racism, seems to reaffirm it when he speaks of this group of people that is remarkably different due to their colour – to which the narrator (2005, p. 23) ironically

responds, “This was the accepted view among the elite: Brazil had escaped race prejudice.”

To conclude this subsection, I would like to add a few words on the roles language users select for participants. Halliday and Matthiessen (2004, p. 202) ponder, “[which] particular creatures we choose to endow with consciousness when we talk about them may vary according to who we are, what we are doing or how we are feeling at the time”. The *mestiço* has been positioned as **Phenomenon** regardless of being a thinking entity or an inanimate object occupying the place of one who is constantly being observed and judged by social rulers.

The following subsection reports and discusses results obtained for the construal of the *mestiço* in relational clauses.

### **4.3.3 Relational processes: the *mestiço* being characterised and identified**

Relational processes are realised in 29% of all processes in the T and in 30.3% of all processes in the RT, which corresponds to the second highest frequency of all processes. Relational clauses, unlike material ones, “prototypically construe change as unfolding ‘inertly’, without an input of energy” (ibid, p. 211). They configure states of an entity by means of attributing characteristics or identities. The following subsections provide explanation about how participants are construed relationally.

#### **4.3.3.1 The *mestiço* as Carrier and Token**

As already explained in the **Review of the Literature**, the Carrier is a participant of Attributive relational clauses that is always accompanied by an Attribute. Token is a participant of Identifying relational clauses, always accompanied by a Value; Token and Value can be either Identified or Identifier depending on which participant has been

previously mentioned in the text/ clause complex. I decided to group Carrier and Token in the same subsection due to their similar nature. Both are entities that receive a characteristic, whereas Attribute and Value are a/the characteristic ascribed to an entity. As regards statistical aspects of Carrier and Token, the *mestiço* is realised as Carrier in 21.4% of all participants in the T and 21.8% of participants in the RT.

The *mestiço* is realised as Token in only 2.7% in the T and in 3% in the RT. The excerpts below refer to the representation of the *mestiço* as **Carrier**:

(T) *The Portuguese term mestiço means* “mixed blood”, which can be any “mixture of racial backgrounds, including Indian, African, and European. It should not be confused with the Spanish term mestizo, which has entered English with the primary meaning of a European-Indian mixture.

(RT) *A palavra portuguesa mestiço significa* “de sangue misturado”, o que inclui qualquer mistura de fundo racial, índio, africano e europeu. O termo não deve ser confundido com o espanhol mestizo, que se incorporou ao inglês com o sentido primacial de mistura de europeu e índio.

Excerpt 4.29 – Chapter 1

In excerpt 4.29, a footnote that appears right in the first chapter of the books, the narrator defines the lexical item that is constantly used throughout the narrative: the foreign lexeme *mestiço*. Here a relational process is used to define the terms to which *mestiço* is meant to represent in the text.

(T) The lower strata, including *poor whites as well as most free coloreds*, were well accustomed to submission and deference.

(RT) *As camadas mais baixas da população, inclusive os brancos pobres e a maior parte dos libertos de cor, estavam* acostumadas à submissão e à deferência.

Excerpt 4.30 – Chapter 2

In 4.30 the nominal group in italics is worth attention. When reading the collocation *poor whites* followed by the conjunction *as well as*, one expects to read next, for instance, *poor coloreds*, yet the collocation that follows is *most free coloreds*. In grouping *free coloreds* in the same nominal group of *poor whites* linked by *as well as*, free people are put up to the same level of poor people.

(T) The apparent wealth or status of the person being observed, indicated by his clothes or his immediate social company, also influenced the observer's reaction, as indicated by the Brazilian adage "money whitens" – although the instances observed usually applied to light mulatto.

(RT) A reação do observador podia ser também influenciada pela aparente riqueza ou provável status social da pessoa julgada, então, pelas suas roupas e pelos seus amigos. Donde o cínico adágio brasileiro: "dinheiro branqueia" - se bem que isso, na prática, só se aplicasse a mulatos disfarçados.

Excerpt 4.31 – Chapter 2

In 4.31 *light mulatto* and *mulatos disfarçados* are represented in a concessive hypotactic clause – therefore, again, backgrounded. The RT adds a post-modifier to *mulato* that does not exist in the T: *disfarçados*. Then a possible reading of the RT raises a question: disguised as what? Would the RT construe a more prejudiced profile than the T?

(T) The ideal of whitening, as well as the traditionalistic social system, helped to prevent *dark-skinned men* from being such active progenitors because females, wherever possible, had powerful conditioning to choose lighter partners than themselves.

(RT) O ideal de “branqueamento” – assim como o sistema social tradicionalista – ajudou a influir entre *homens de pele escura* na sua escolha de cruzamento racial e  $\emptyset$  de ter o mesmo ativo papel na reprodução. As fêmeas, por outro lado, movidas por uma forte inclinação na preferência, escolhiam sempre, quando isso era possível, parceiros mais claros do que elas.

Excerpt 4.32 - Chapter 2

In 4.32, in the T, the nominal group *dark-skinned men*, a hyponymy for *mestiço*, is the Goal of the primary clause – realised by the process “helped to prevent” –, and Carrier of an attributive relational process – realised by from being – which is realised in a hypotactic clause that expands the primary clause. In turn, in the RT, *homens de pele escura* becomes Circumstance of the primary clause, and there is a subtle change in role of the Carrier of the relational process: ter is a possessive relational process. Furthermore, the construction of the node as Circumstance in the primary clause of the RT clause complex (*entre homens de pele escura*) introduces the idea of racial crossbreeding, a semantic nuance that seems to equate human beings with animals.

(T) Yet *human “mixed bloods”* were obviously not infertile.

(RT) E, no entanto, era óbvio que *os mestiços humanos* não eram estéreis.

Excerpt 4.33 - Chapter 2

Curiously the collocation *mixed bloods* is realised between square quotations and classified as *human*. One possible reading of this construction would be that, then, are not all *mixed bloods* considered human entities in the text? The RT’s *mestiços humanos*

represent an even odder picture: the two lexemes do not quite collocate when considering that *mestiço* is used to represented no other entity than human beings.

(T) The United States attracted immigrants primarily to the North, where *the non-white population* was still minimal.

(RT) Os Estados Unidos atraíam imigrantes principalmente para o Norte, onde *a população não-branca* era ainda diminuta.

Excerpt 4.34 - Chapter 4

In 4.34, the node *non-white*, a superordinate for *mestiço*, functions as a Classifier pre-modifying the Head *population* in the T, and the node *não-branca* functions as a Classifier post-modifying the Head *população* in the RT. The representation of the entity *mestiço* is backgrounded as it is construed, both in the T and in the RT, in a dependent clause that establishes a hypotactic relation with the main clause.

(T) In the midst of the luxurious excesses of nature (Lobato's lyric description was ironical) *the caboclo* was a "dark fungus on a rotten tree dozing silently in a valley alcove - the only one not to talk, not to sing, not to laugh, not to love. The only one not to live..." The obvious assumptions about the caboclo's inherent character went uncontested when the article first appeared in 1914.

(RT) No meio dos desmandos luxuriantes da natureza (a lírica descrição de Monteiro Lobato era cheia de ironia) *o caboclo* não passava de um "sombrio urupê de pau pobre, a modorrar silencioso no recesso das grotas. Só ele não fala, não ri, não ama. Só ele, no meio de tanta vida, não vive." As ilações óbvias sobre o caráter inato do caboclo ficaram sem resposta quanto o artigo apareceu pela primeira vez, em 1914.

Excerpt 4.35 - Chapter 6

In 4.35 the RT represents the *caboclo* in a different fashion, changing the polarity of the process. In the T, the positive declarative clause *was*, whereas the RT employs the negative *não passava de*. The negative polarity of the RT may reinforce the prejudicial assertion construed in T – yet, it is important to remember that as it is a quotation from Monteiro Lobato, the RT may have rendered Lobato's original words; thus the T would be softening Lobato's prejudicial position.

(T) Any mulatto not light enough to "pass" had always been subject to the same legal disabilities and physical danger as his darkest brother.

(RT) Qualquer mulato que não fosse bastante claro para "passar" ficara, sempre, sujeito às mesmas desvantagens e aos mesmos riscos físicos que o seu irmão mais escuro.

Excerpt 4.36 - Chapter 7

In 4.36, the excerpt suggests that the treatment given to *mulattoes* was different from the one given to blacks ("his darkest brother"/ "seu irmão mais escuro") as long as they

were *light enough*. Additionally the participant of the relational process is also the participant of a material process reduced infinitive typed between square quotations, again, possibly connoting an ironic tone.

(T) In effect, those who control the federal government have declared that *color is not* a meaningful category in Brazil, at least for statistical purposes.

(RT) Na realidade, o governo federal decidiu que *a cor não era* tão importante que justificasse maiores esforços no sentido da coleta de dados mais exatos, pelo menos no recenseamento de 1970.

Excerpt 4.37 - Chapter 7

In 4.37 the node and the relational process are projected by a verbal process (“have declared that”/ “decidiu que”) in a hypotactic relation. The hypotactic clause is an indication that the node is, through the narrator, represented by the voice of those in control of society, that is, institutions, such as: “the federal government”/ “o governo federal”. Thus the representation of the *mestiço* is under control of the government, which is, in turn, under the representation of the narrator. Interestingly the T uses a verbal process (“declare”) to project what the government declared, whereas the RT uses a mental process (“decidir”) to project what the government decided.

(T) “Within two or three centuries perhaps this ethnic fusion will be complete and *the Brazilian mestiço*  $\emptyset$  well defined.”

(RT) “Dentro de três ou quatro séculos, a fusão étnica estará talvez completa, e *o brasileiro mestiço*  $\emptyset$  bem caracterizado”.

Excerpt 4.38 - Chapter 1 – Sílvia Romero

4.38 is a quotation from the determinist Sílvia Romero in which the relational process (“will be”) construing the *mestiço* is elliptical both in the T and in the RT. The clause in which the *mestiço* is represented is hypotactic in relation to the process of completion of the ethnic fusion – *the Brazilian mestiço* will be well defined once the ethnic fusion is complete –, thus the latter depends on the completion of the former.



(T) The Indo-European, the Negro, and the Brazilian Guarany or the Tapuia represent evolutionary stages in confrontation; and miscegenation, in addition to obliterating the pre-eminent qualities of the higher race, serves to stimulate the revival of the primitive attributes of the lower; so that *the mestiço [mestiço] – a hyphen between the races, a brief individual existence into which are compressed age-old forces – is* almost always an unbalanced type. *The mestiço [mestiço] – mulatto, mameluco, or cafuso – rather than an intermediary type, is* a degenerate one, lacking the physical energy of his savage ancestors and without the intellectual elevation of his ancestors on the other side.

(RT) De sorte que *o mestiço – traço-de-união entre as raças, breve existência individual, em que se comprimem esforços seculares, – é, quase sempre, um desequilibrado. E o mestiço – mulato, mamaluco ou cafuz – menos que um intermediário, é um decaído, sem a energia física dos ascendentes selvagens, sem a altitude intelectual dos ascendentes superiores.*

Excerpt 4.39 - Chapter 3 – Euclides da Cunha

Excerpt 4.39 is a quotation from Euclides da Cunha in which *the mestiço* is construed in a long nominal group. The prejudice against the *mestiço* in the T seems to become evident in the second nominal group of the RT with the translation of *rather than* to *menos que*, thus the inferiority attributed to the *mestiço* (“a degenerate one”/ “um decaído”) seems to be intensified by the conjunctive (*menos que*) in the RT.

All excerpts above reveal the uncertain categorisation to which anyone, who was not ‘white’, had to submit to. The Brazilian elite of the 1870-1930’s recognised Brazil as a country of *mestiços* (cf. Skidmore, 2005), and prejudice was relocated to a colour continuum: the point was not being non-white or not, but being lighter or darker.

The following excerpt refers to the *mestiço* as **Token**:

(T) Their society was already multi-racial, and *the middle caste was precisely* the social category for whom the flexibility of Brazilian racial attitudes was most important.

(RT) Sua sociedade já era multirracial, e *a casta intermediária era precisamente* a categoria social para a qual a flexibilidade das atitudes raciais importava, sobretudo.

Excerpt 4.40 - Chapter 2

Excerpt 4.40 shows a different collocation for the entity *mestiço*: *middle caste/ a casta intermediária*. The different construal of the *mestiço* in the nominal group realises different representations of the entity. Here the *mestiço* is portrayed as a group confined to a social and economic rank – neither of superior nor of inferior conditions, but midway. The node is realised in the secondary clause of the clause complex which expands the primary clause in paratactic relation. Even so, the dominance of the primary clause over the secondary clause realised by the participants of both clauses: the Carrier

of the primary clause is related to the Carrier of the secondary clause by meronymy – *middle caste/ casta intermediária* is a part of “society”/ “sociedade”).

Excerpt **4.41** is a quotation from Napoleão Gomes, therefore, a projected clause complex:

(T) Even the defenders of the native-born worker (Napoleão Gomes: "I can guarantee you that *the mestiço from the backlands [sertanejo]* is the most energetic type in Brazil") never contested the assumptions of the whitening ideal.

(RT) Mesmo os defensores do trabalhador braçal nativo (Napoleão Gomes: "O que garanto é que *o mestiço sertanejo* é o tipo de maior energia do Brasil") jamais contestaram as premissas do ideal de branqueamento.

Excerpt 4.41 - Chapter 6 – Napoleão Gomes

The node is realised in a dependent and projected clause within the projected clause complex, once more, attesting the secondary status to which the *mestiço* is assigned.

The next subsection provides examples of the *mestiço* as a characteristic rather than an entity.

#### 4.3.3.2 The *mestiço* as Attribute and Value

The *mestiço* is realised as **Attribute** in 8.9% of participants in the T and in 6.9% of participants in the RT. As for **Value**, the *mestiço* is realised in 0.9% of participants in the T and in 1% in the RT. There were some NLC as regards to Attribute which will be shown in section 4.4.

The following excerpts show the *mestiço* construed as **Attribute**:

(T) The Portuguese term *mestiço* means “*mixed blood,*” which can be any “mixture of racial backgrounds, including Indian, African, and European. It should not be confused with the Spanish term *mestizo*, which has entered English with the primary meaning of a European-Indian mixture.

(RT) A palavra portuguesa *mestiço* significa “*de sangue misturado,*”, o que inclui qualquer mistura de fundo racial, índio, africano e europeu. O termo não deve ser confundido com o espanhol *mestizo*, que se incorporou ao inglês com o sentido primacial de mistura de europeu e índio.

Excerpt 4.42 – Chapter 1

Excerpt **4.42** has already been discussed in the Carrier section. The Attribute of the node Carrier is also a node – here a synonym for the node is used to define the node. The definition of *mestiço* is extended by the hypotactic clause in which “*mixed blood*”/ “*de*

*sangue misturado*” is substituted for the pronoun *which/ o que*. In the T, the relational process “be” that realises *which* is modified by the modal “can”, whereas, in the RT, the relational process “incluir” is realised straightforwardly without any modals. It is important to observe that the definition of *mestiço* (“*mixed blood*”/ “*de sangue misturado*”) lacks its sources. Neither the T nor the RT provides reference for this definition.

(T) The abolitionists were, however, very ready to take a position on whether a liberal society was possible if a large part of the population was non-white.

(RT) Os abolicionistas estavam, todavia, prontos a tomar posição no que dizia respeito à questão de saber se era possível uma sociedade liberal quando grande parte da população era não-branca.

Excerpt 4.43 – Chapter 1

In 4.43 the node is a characteristic of the nominal group “a large part of the population”/ “grande parte da população”. The clause in which the node is realised is a conditional hypotactic clause.

(T) The half-million slaves who were freed in 1888 entered a complex social structure that included free men of color (of every shade).

(RT) O meio milhão de escravos libertados em 1888 ingressou, assim, numa estrutura complexa, que já incluía homens livres de cor (de todas as tonalidades).

Excerpt 4.44 – Chapter 2

In 4.44 the collocation *free men of color/ homens livres de cor* is the Attribute of “complex social structure”/ “estrutura complexa”. The Attribute is realised in an elaborative hypotactic clause, and it is intriguingly post-modified by the Qualifier between parentheses *of every shade/ de todas as tonalidades*.

(T) No slave society in the Americas failed to produce a large mulatto population.

(RT) Nenhuma sociedade escravista nas Américas deixou de produzir uma vasta população mulata.

Excerpt 4.45 – Chapter 2

In 4.45, *a large mulatto population* and *uma vasta população* are, respectively, the Values of the verbal groups failed to produce and deixou de produzir, which correspond to the products of “slave society”/ “sociedade escravista”. The action of ‘producing’ is

intensified by the verbs failed to/ deixou de that function as modals and also by the pre-modifiers of the Actors “No” and “Nenhuma”.

(T) He was constantly helped in the process by *the mestiço, his son and his collaborator who ended up replacing him, Ø assuming his color and his power*”.

(RT) Nesse empenho foi sempre ajudado pelo *mestiço, seu filho e seu auxiliar, que acabará por suplantá-lo, Ø tomando-lhe a cor e a preponderância*”.

Excerpt 4.46 – Chapter 1 – Sílvia Romero

4.46 is a quotation from Sílvia Romero in which the node *color/cor* belongs to the “he” (the white man). The *mestiço* is the elliptical Carrier of the reduced process “assuming”/ “tomando” realised in an embedded clause. This excerpt is a racist declaration which states that, in order to take the place of the white man, the *mestiço* would have to carry the white man’s attributes.

The following subsection deals with the construal of the *mestiço* in verbal processes.

#### 4.3.4 Verbal processes: the *mestiço* saying or being said

Verbal clauses work as a resource in the creation of discourse in which they serve as junctions when signalling an interpersonal change in a narrative “by making it possible to set up dialogic passages” (Halliday & Matthiessen (2004), p. 252). When the corpus of the present study is looked at, in the light of Halliday and Matthiessen’s (2004) explanation that verbal clauses make “it possible to quote and report from various scholars while at the same time indicating the writer’s stance with verbs like *point out, suggest, claim, assert.*” (p. 253), it becomes evident that although various scholars are cited, the writer’s stance is still discernible.

These matters explained I turn now to the excerpts which realise the *mestiço* in verbal clauses.

#### 4.3.4.1 The *mestiço* as Sayer

The *mestiço* is actively construed as **Sayer** in 3.6% of participant roles in the T (i.e. 4 occurrences), and in 4% in the RT (i.e. 4 occurrences). The **Sayer** may be realised by a human participant or by a non-human participant, which brings verbal clauses very close to the function of relational clauses since Carriers/Tokens will probably describe itself in ‘saying’ something. These ideas will become clearer in the qualitative discussion that follows.

In chapter 1 “The intellectual context of abolition in Brazil”, when referring to abolitionists and the abolitionist movement, Luís Gama is presented as:

(T) *Luiz Gama, a fiery mulatto lawyer and pioneer abolitionist from São Paulo, commended* to his son’s attention two books: the Bible and Ernest Renan’s *Life of Jesus*.

(RT) *Luís Gama, o explosivo advogado mulato de São Paulo, pioneiro da Abolição, recomendava* à atenção de seu filho dois livros: a Bíblia e *A Vida de Jesus*, de Renan.

Excerpt 4.47 – Chapter 1

This mulatto, the individual Luiz Gama (T) or Luís Gama<sup>29</sup> (RT), is presented to readers with an explanatory comment, which serves to highlight his role in society as *pioneer abolitionist/ pioneiro da Abolição*, and a *fiery mulatto lawyer/ o explosivo advogado mulato* which . “Mulatto”/ “mulatto”, then, are employed as a Classifier premodified both in the T and in the RT as “fiery”/ “explosivo”. The RT mistranslated the non-specific Deitic *a* into the specific Deitic *o* in Brazilian Portuguese (*the*, in English), what leads RT readers to think Luís Gama was the only and exclusive *fiery mulatto lawyer*. The entity *mestiço* is construed in apposition; as an explanatory comment of the Sayer of an independent clause. The Sayer is intervening in the life of a participant who is his son. The narrator provides this piece of information in order to foster his argument that Brazilian abolitionists’ attitudes and readings<sup>30</sup> demonstrated “their longing for the Anglo-American model of liberalism” (T, p. 17)/ “sua aspiração às formas de

<sup>29</sup> Curiously Skidmore opted for naturalising “Luís Gama”’s name into a more Spanish-like version, dropping the accent and replacing the “s” for a “z”. The translator re-rendered his name into Portuguese.

<sup>30</sup> The narrator uses Renan’s *Life of Jesus* to contradict the Bible and to confirm the Anglo-American inclination, even though Renan was a French philosopher of late nineteenth century. From *Black into White*, thus, I infer Renan has also influenced liberalist movement in Anglo-America.

liberalismo do modelo anglo-americano” (RT, p. 33) which opposed the Catholic and slavocrat basis of Brazil.

The following excerpt presents the node as a Qualifier in apposition. It portrays another mulatto as an individual:

(T) *José do Patrocínio, a mulatto*, argued that Brazil was more blessed historically than the United States: “We have been able to fuse all races into a single native population, because Portuguese colonization assimilated the savage races instead of trying to destroy them, thus preparing us to resist the devastating invasion of race prejudice”.

(RT) *José do Patrocínio, um mulato*, argumentou que o Brasil era mais abençoado historicamente que os Estados Unidos “podendo fundir em massa popular indígena todas as raças, porque a colonização portuguesa, em vez de haver procurado destruir as raças selvagens, as assimilou, preparando-se assim para resistir à invasão assoladora do preconceito de raças”.

Excerpt 4.48 - Chapter 1

Likewise the former, the entity *mestiço* is also textualised as Sayer, both in the T and in the RT. Once again, readers learn this Sayer is a mulatto because of the explanatory commentary which functions as a postmodifier of the nominal group *José do Patrocínio, a mulatto/ um mulato*. The narrator seems to obey the pattern Thing (proper name) + Qualifier (apposition) to introduce *mestiços* as individuals in the narrative.

The next subsection shows how the *mestiço* was construed as **Receiver** and **Target**.

#### 4.3.4.2 The *mestiço* as Receiver and Target

The *mestiço* is realised as **Receiver** throughout the narrative of in 1.8% of participants in the T and in 4% in the RT. To refresh our memories, the **Receiver** is the participant “to whom the saying is directed” (Halliday & Matthiessen, 2004, p. 255), and it is usually in a nominal group preceded by a preposition.

The excerpt below illustrates an occurrence of the *mestiço* as **Receiver**:

(T) The newly freed slaves moved into the paternalistic multi-racial social structure that had long since taught *free men of color* the habits of deference in their relationships with employers and other social superiors.

(RT) Os escravos recém-libertados incorporaram-se à estrutura social, multirracial e paternalista, que de há muito ensinara *aos homens livres de cor* os hábitos de deferência no trato com empregadores e outros superiores sociais.

Excerpt 4.49 - Chapter 2

In excerpt 4.49, *free men of color/ os homens livres de cor* are the Receivers of the teachings of deference before those who were above them in the socioeconomic structure. The teaching is the Verbiage (what is said) formed by the long nominal group “the habits of deference in their relationships with employers and other social superiors”/ “os hábitos de deferência no trato com empregadores e outros superiores sociais”. The entity *mestiço* is realised in a hypotactic clause that elaborates and depends on the nominal group “paternalistic multi-racial social structure”/ “a estrutura social, multirracial e paternalista” which is a Circumstance of the primary clause of the clause complex.

As for **Target**, in the T, the *mestiço* is construed as such in 4.5% of all participants in the T and in 4% in the RT. The following excerpts construe the *mestiço* as **Target**:

(T) In 1906 an editorial alleged discrimination *against both blacks and mulattoes* in the recruitment of the Guarda Cívica, or state militia, of São Paulo.

(RT) Em 1906, um editorial alegava discriminação *tanto contra pretos como contra mulatos*, no recrutamento da Guarda Cívica, ou milícia estadual, de São Paulo.

Excerpt 4.50 - Chapter 2

In 4.50 the Sayer is an unacknowledged editorial – which, once again, demonstrates the lack of references in BW and PB. In this excerpt *blacks* and *mulattoes* share a common identity: they are realised in the same nominal group as Target of discrimination.

(T) He pronounced *mixed bloods* as “obviously inferior to the blacks” as “agricultural laborers” and as having “little power to resist disease”; where their superiority lay, in his opinion, was that they were “physically and intellectually well above the level of the blacks”.

(RT) Declarou *os mestiços* “obviamente inferiores aos negros” como “mão-de-obra agrícola”, tendo “pouca resistência às moléstias”; sua superioridade consistia, na sua opinião, em estarem “física e intelectualmente muito acima do nível dos pretos”.

Excerpt 4.51 - Chapter 2 – João Batista de Lacerda

In 4.51 the Sayer is João Batista de Lacerda, a Brazilian determinist anthropologist, whose message is his opinion about the Target, the *mixed bloods*. In the RT, the Target becomes the synonymous *os mestiços*.

(T) Lobato pictured *the lethargic, superstitious, ignorant caboclo* who thought it not worthwhile ("Não paga a pena") to build a decent house, cultivate his manioc, or store his harvest.

(RT) Monteiro Lobato pintava *o caboclo* ignorante, letárgico, supersticioso que julgava inútil ("Não paga a pena") erguer uma casa decente, plantar alguma, ou armazenar a pobre colheita.

Excerpt 4.52 - Chapter 6

In the T, the *caboclo* is the Head of a nominal group which functions as the Target of the main clause. This Target is pre-modified by the Deitic *the* and by the Epithets *lethargic*, *superstitious* and *ignorant*. In the RT, there is a subtle change in the realisation of the nominal group: *o caboclo* is a Target pre-modified only by the Deitic *the*. In turn, the Epithets *ignorante*, *letárgico* and *supersticioso* realised the Verbiage which describe what Lobato used to say about *the caboclo*. For this reason, the T and the RT are slightly different, as, in the T, the Sayer simply talks about *caboclo*, whereas, in the RT, the Target + Verbiage construction implies that was the way the Sayer presented *o caboclo* to others.

The following subsection demonstrates realisations of the *mestiço* as **Verbiage**.

#### 4.3.4.3 The *mestiço* as Verbiage

Briefly **Verbiage** is what is said, "the content of the message" and "the name of the saying" (ibid, pp. 255-256). The *mestiço* is realised as Verbiage in 3.6% of all participants in the T and in 4% in the RT. This stated, the following excerpts show occurrences of the *mestiço* construed as Verbiage:

(T) Furthermore, the whitening ideology squared with one of the most obvious facts of Brazilian social history – the existence of a large "middle caste", generally called "*mulatto*".

(RT) Além disso, a ideologia do "branqueamento" enquadrava-se com um dos fatos mais óbvios da história social brasileira – a existência de uma vasta "casta média" geralmente chamada "*mulata*".

Excerpt 4.53 - Chapter 2



The *mulatto* is realised in a secondary close which establishes a hypotactic relation with the primary clause. Intriguingly both “middle caste”/ “casta média” and “*mulatto*”/ “*mulata*” are realised between square quotes – odd to an academic text in which references to sources are expected.

(T) Within this category there were enormous variations, ranging from socially prestigious figures who could be described only as “*mulatto*” in the most intimate circles, to underworld criminals who would have fitted Nina Rodrigues’ suggested penal category of “degenerates”.

(RT) Dentro dessa categoria, cabiam enormes variações, que iam desde prestigiosas figuras da sociedade que só poderiam ser chamadas mulatas nos círculos mais íntimos, até criminosos do submundo, que preencheriam a categoria penal sugerida por Nina Rodrigues, de “degenerados”.

Excerpt 4.54 - Chapter 2

In Excerpt 4.54 the entity *mulatto* is realised in a secondary clause that establishes hypotactic relation with the primary clause. *Mullato*, again, is realised between square quotes in the T, but that is not replicated in the RT, in which *mulatas* are realised without square quotes. This *mulatto* figure is defined in the T as the complex nominal group “Nina Rodrigues’ suggested penal category of “degenerates””, in which “suggested” functions as Qualifier of the Head “category”. In the RT, the Qualifier becomes the process of a passive clause.

(T) By any objective physical characteristics it was nonsense to refer to such a single category as “*mulatto*”.

(RT) A julgar por quaisquer características físicas objetivas seria tolice chamar a essa categoria toda “*mulata*”.

Excerpt 4.55 - Chapter 2

As well as the previous examples of the entity *mestiço* as Verbiage, in 4.55, “*mulatto*”/ “*mulata*” is realised between square quotes and in a secondary clause.

(T) Born in the state of Rio de Janeiro, he was described by contemporaries as *mulatto*, which may in part explain his interest in the ethnic question.

(RT) Nascido no Estado do Rio de Janeiro, é descrito pelos contemporâneos como *mulato*, o que explica seu particular interesse pela questão étnica.

Excerpt 4.56 - Chapter 6

All **Verbiages** represent the *mestiço* in a massified way, except for 4.56, which describes one individual, a “he”, who is the determinist Brazilian historian and lawyer

Oliveria Viana. The construal of the *mestiço* as **Verbiage** is similar to its construal as **Attribute**. In other words, the participants in italics above are, somehow, one participant being used to define another participant. For example, as in **4.53**, “a large middle caste”/ “uma vasta casta média” is defined as *mulatto/ mulata*.

The following subsection refers to the representation of the *mestiço* in existential processes.

### 4.3.5 Existential processes: the *mestiço* being perceived

Existential processes appear in 2.3% of processes in the T and in 2.5% of processes in the RT, corresponding to the lowest frequency of all processes. The following subsection shows data obtained for the *mestiço* as **Existent**.

#### 4.3.5.1 The *mestiço* as Existent

The *mestiço* construed as **Existent** was found in 1.8% of participants in the T and in 2% of participants in the RT. The **Existent** is the only participant of existential processes, which is the entity that “is being said to exist” (ibid, p. 258). Below there are examples of the **Existent** as participant:

(T) There was always a middle category (called mulatto or mestiço) of racial mixtures.

(RT) Havia sempre uma categoria mediária (os chamados mulatos ou mestiços).

Excerpt 4.57 - Chapter 2

(T) Also unlike the United States, instead of two castes (white and non-white), there was a third social caste well recognized in Brazil – the mulatto.

(RT) E também ao contrário dos Estados Unidos, em vez de duas castas (branca e não-branca), havia no Brasil uma terceira casta social bem reconhecida – o mulato.

Excerpt 4.58 - Chapter 2

In both excerpts, the existential processes are realised as there was in English and havia in Portuguese. In **4.57** the entity *mestiço* is construed as *middle category*, which is explained in the hypotactic clause “called mulatto or mestiço”. Thus *middle category* establishes a hyponymic relation with the nodes *mestiço* and *mulatto*. In turn, the T

hypotactic clause is re-textualised (i.e. it is an instance of New Language Construction – NLC) as apposition in the RT, which re-elaborates the Existent *uma categoria mediária*; thus the process “called” becomes a Classifier of the Head of the explanatory comment (*mulatos* and *mestiços*). Excerpt 4.58, as well as 4.57, speak of the *mestiço* as a new social group so as to introduce central participants in the narrative (cf. Halliday & Matthiessen, 2004).

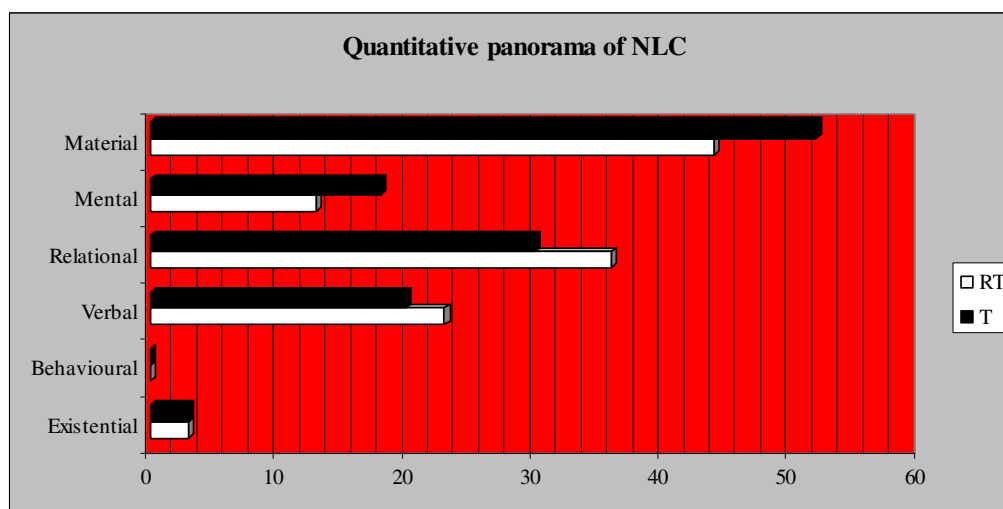
All excerpts illustrated in sections 4.3.1-4.3.5 correspond to instances where processes used in the T corresponded ideationally to processes used in the RT. Nevertheless there were instances when the choice of process and/ or participant was differently rendered in the RT. These different renderings are here called New Language Constructions (NLC) (cf. Fleuri (2006), Pires (2006)).

### 4.3 New Language Constructions (NLC)

In the process of re-textualising texts, the translator faces a new range of possibilities in the paradigmatic axis which are different from the first writer’s. The writing process of the RT takes place within another language system which, therefore, offers new possibilities to a new target audience. In re-textualising, the translator construed language differently from the first writer, in ways that he produced imagery differently from the RT, to the extent that, at times, the RT turns out to be *ideationally* different from the T.

Halliday (2001, p. 16) defines translation equivalence “in ideational terms: if a text does not match its source text ideationally, it does not qualify as a translation”. To put it differently, in the overall, the T and the RT should, necessarily, be in a translational relationship as regards ideational material for one to be considered the

translation of the other. Yet some new language constructions (NLC) can be observed when detailed analysis is carried out. See **Figure 4.6** below:



**Figure 4.6 – Quantitative panorama of NLC**

**Figure 4.6** provides a view of instances of NLC in the RT. Three main types of NLC were observed: (i) to nominalise verbs, that is, to transform verbs into nouns (cf. Halliday & Matthiessen (2004), p. 637); (ii) to represent the *mestiço* in the RT in an ideational configuration different from that of the T; (iii) to switch participant roles in the clause. The following subsections show these instances of NLC.

#### 4.4.1 Nominalisation

In the RT, there were four occurrences of nominalisation. The excerpts below are ordered according to the chapters of the books of the corpus. The structures of the T that were nominalised in the RT are underlined as well as the NLC in the RT:

(T) Romero's vision of the future depended very much on whether he thought the existing racially mixed population was psychologically stable or not.

(RT) A visão que Sílvia Romero tinha do futuro ficava a depender da avaliação da estabilidade psicológica da população existente, racialmente mestiça.

Excerpt 4.59 - Chapter 1

In the T, the node is a Classifier in the nominal group *the existing racially mixed population*, which is realised as Phenomenon in the conditional hypotactic clause that enhances the primary clause. In the RT, that hypotactic clause is constructed as a complex nominal group whose Head (“avaliação”) corresponds to the nominalisation of the process “thought” in the T.

(T) As a result, there was no tradition in Brazil of suppressing non-whites within a rigidly bi-racial caste system, and racist thought could not therefore be used to buttress such a system.

(RT) Como resultado, não havia tradição no Brasil de supressão de não-brancos dentro de um rígido sistema birracial, e o pensamento racista não podia, em consequência, ser usado para reforçar tal sistema.

Excerpt 4.60 - Chapter 2

In the T, the *non-whites*, a superordinate for *mestiço*, is the Goal of a material process realised in an embedded clause which functions as a post-modifier of the primary clause. In turn, in the RT, the embedded clause is incorporated in the complex nominal group (underlined) as a post-modifier of the Head “tradição”.

(T) At their most extreme, polygenists had argued that mulattoes must be sterile, since the laws of zoology taught that any animal produced by the union of parents of different species would be unable to bear offspring.

(RT) Quando muito extremados, os poligenistas defendiam a tese da esterilidade dos mulatos, uma vez que as leis da zoologia ensinavam que todo animal produzido por união de pais de espécies diferentes nascia incapaz de procriar.

Excerpt 4.61 - Chapter 2

In the T, the node *mulattoes*, which stands in a hyponymic relation with *mestiço*, is realised as Carrier in the projection “mulattoes must be sterile”. In the RT, three NLC take place: first, the node becomes a post-modifier of the Head “tese”; second, the Attribute “sterile” also becomes a post-modifier; and third, the primary clause of the RT does not project, whereas the T’s primary clause does. Besides the modal “must be” realises certainty in the T (as if to “be sterile” were a true statement), whereas that is lost in the RT when nominalised as “tese”, which indicates a proposal of study – in the T, it is not debatable whether the mulattoes are sterile or not, as polygenists said they “must be”. “Tese”, in Brazilian Portuguese, opens up the possibility of discussion.

(T) Although comprehensive data were lacking, and although some important regional variations existed, and although researchers' opinions varied on how *color* might affect future social mobility, it seemed clear that the darker a Brazilian the more likely he was to be found at the bottom of the socio-economic scale by every indicator - income, occupation, education.

(RT) Embora lhes faltassem dados, embora algumas variações regionais existissem, e embora as suas conclusões divergissem quanto ao impacto da cor sobre a mobilidade social, ficou patente que quanto mais escuro fosse o brasileiro mais provável seria encontrá-lo no fundo da escala sócio-econômica - e nisso coincidiam os diversos indicadores - renda, ocupação, educação.

Excerpt 4.62 - Chapter 7

In the T, the node *color* is the Actor of an embedded clause, and its process is modalized by “might”. In the RT “might affect” is nominalised as “impacto”, leaving behind any trace of modalization.

#### 4.4.2 From Material to Relational

Besides nominalisation, there were also instances of NLC of processes which were realised in material clauses in the T, but realised in relational clauses in the RT. Excerpts 4.63-4.67 illustrate the four occurrences of NLC from material to relational.

The processes analysed are underlined.

(T) *The free man of color* in Brazil was already establishing a clear place in society during the late eighteenth century, while their counterparts in the United States were facing the systematically discriminatory system (laws in the South, customs in the North) that effectively prevented their entering the established economic or social order.

(RT) Ao fim do séc XVIII, *o homem livre de cor* no Brasil tinha, já, lugar definido na sociedade enquanto seu semelhante nos Estados Unidos enfrentava regime tão sistematicamente discriminatório (leis, no Sul; costumes, no Norte) que o impedia de penetrar na ordem estabelecida, quer econômica quer social.

Excerpt 4.63 - Chapter 2

In 4.63, the material process was establishing was re-elaborated as the possessive relational process tinha, which, consequently, realised *o homem livre de cor no Brasil*, an Actor in the T, as a Carrier in the RT. In the T, the node is the Actor of the primary clause in the clause complex, thus it is realised dynamically, whereas, in the RT, *o*

*homen livre de cor*, becomes a Carrier, thus it is realised statically – would that be an indication of prejudice?

(T) Slaves probably outnumbered *freemen (white and colored)* in Brazil in the seventeenth century; and whites were never in a majority anywhere in Brazil, until immigration markedly altered the racial balance in several states of the South and Center-South.

(RT) Os escravos eram provavelmente, em maior número que *os homens livres (brancos e de cor)* no Brasil do séc. XVII; e os brancos jamais constituíram maioria em nenhum lugar do Brasil até que a imigração veio alterar radicalmente o equilíbrio racial nos estados do Sul e do Centro-Sul.

Excerpt 4.64 - Chapter 2

In 4.64, the node is realised as Scope in the T, whereas it is constructed as a comparative Attribute in the RT.

(T) If Gilberto Freyre's portrait is to be believed - and there is much corroboration from other sources - we may assume that white males must have fathered *many mixed bloods*, thereby increasing the proportion of lighter skinned offspring in the next generation.

(RT) Se aceitarmos as linhas do retrato de Gilberto Freire – e ele é corroborado por muitas outras fontes – cumpre assinalar que os machos brancos foram *pais de muitas crianças mestiças*, o quê, na certa, aumentou a proporção de rebentos de pele clara na geração subsequente.

Excerpt 4.65 - Chapter 2

In the T, it is clear that “white males” produced *mixed bloods*, as “white males” is realised as the Actor of father. Yet that representation changes in the RT, as “machos brancos” are realised as Carrier. With this NLC, it seems that the responsibility of “white males” towards their children is reduced.

(T) *Mixed bloods*, not surprisingly, presented him with a problem.

(RT) *Os mestiços eram* para ele, evidentemente, um problema.

Excerpt 4.66 - Chapter 2

In the T, the construction present + with makes of present a material process. In this way, the collocation *mixed bloods* functions as the Actor of the clause at stake. The RT transforms a material process into the relational process eram, and, thus, the nominal group *os mestiços* becomes the Carrier of the Attribute “problema” instead of the T construal of the *mixed bloods* as the causer of the event.

(T) Although he never ceased to admire Euclides' courage as a pioneer amateur ethnographer who transformed his science into a literary work of universal appeal, by 1914 he had progressed far enough from Euclides' position to argue that, although much of the black population had been abandoned to "the kind of total ignorance which in the modern world makes man into a helpless biped," thus accelerating their disappearance, blacks (*mulattoes* were evidently excluded from this discussion) had, with proper education, shown themselves capable of great progress in the United States.

(RT) Mas não deixou jamais de admirar a coragem e o pioneirismo de Euclides como etnógrafo amador, que transformara seu conhecimento científico numa obra literária de apelo universal. Por volta de 1914 já se distanciara suficientemente da posição de Euclides para afirmar que o negro "vive mergulhado na bruta ignorância dentro da qual um homem, no mundo moderno, é um bípede quase imprestável". Isso lhe acelerava a desapareição. Nos Estados Unidos, porém, os pretos (evidentemente *os mulatos* estavam fora da discussão) se tinham mostrado, depois de educação apropriada, capazes de grande progresso.

Excerpt 4.67 - Chapter 6

In 4.67, the RT breaks an enormous clause complex into four smaller clause complexes.

The node is realised in an embedded clause between parentheses both in the T and in the RT. Yet, in the T, *mulattoes* is the Goal of a material clause in passive voice, it becomes the Carrier of a circumstantial Attribute in the RT. In the T, the *mulattoes* are clearly affected by the material process excluded, whereas, in the RT, this type of representation becomes opaque.

#### 4.4.3 From Mental to Material

There was one occurrence of NLC from mental to material process:

(T) These economic and social opportunities enjoyed by *free coloreds* furnish proof that the multi-racial pattern of racial categorization was well established before final abolition.

(RT) Tais oportunidades econômicas e sociais – abertas aos *homens livres de cordão* – são prova de que o padrão multirracial da categorização racial estava firmemente estabelecido muito antes de 1888.

Excerpt 4.68 - Chapter 2

Both T and RT follow the same structure realising the nodes: embedded clauses that extend the nominal group “These economic and social opportunities”/ “Tais oportunidades econômicas e sociais”. However, in the T, that extension is realised by a mental process which construes the *free coloreds* as Senser, whereas, in the RT, that extension is realised by a material process which construes *os homens livres de cordão*<sup>31</sup>

<sup>31</sup> The nominal group *free coloreds* (Excerpt 4.68) was curiously translated into *homens livres de cordão*. One may wonder if that is an error or if the translator consciously opted for *cordão* instead of *cor*. In



as Recipient. Besides that, the RT removes the colour element of the entity *mestiço*, and uses *cordão* instead, which modifies the Classifier *livres*.

#### 4.4.4 From Mental to Verbal and Vice-Versa

In the corpus, one instance of NLC from mental to verbal was found:

- (T) Furthermore, he had decided *the mixed bloods* would never disappear.  
 (RT) Ademais, chegara à conclusão de que *os mestiços* jamais desapareceriam.  
 Excerpt 4.69 - Chapter 2

In the T, *the mixed bloods* is construed as the Phenomenon of the event had decided. This mental process projects the secondary clause “*the mixed bloods* would never disappear.” Similarly the RT also projects, but it does so by realising the *mestiços* as Verbiage.

The following example illustrates the NLC from verbal to mental:

- (T) This led him [Euclides da Cunha] to praise the mixture of Indian and white, and to denigrate *the mulatto*.  
 (RT) Isso o [Euclides da Cunha] levou a louvar a mistura do branco com o Índio, e a considerar *o mulato* degenerado.  
 Excerpt 4.70 - Chapter 3

In the T, the clause that realises the nominal group *the mulatto* is an embedded clause of the primary clause realised by the material process “led”. *The mulatto* is the Target of the event of denigration in the T. In the RT, similarly, the clause that realizes the nominal group *o mulato* is an embedded clause of the primary clause realised by the material process “levou”. Yet, differently, a considerar is a mental process that construes *o mulato* as Phenomenon. The negative load expressed in the T by the process denigrate is transferred to the Epithet “degenerado” which is construed as Range of the mental process in the RT.

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considering the context of the abolition of slavery, *livres de cordão* could be read as free of strings of abolition.

#### 4.4.5 Change in Participant

Besides nominalisations and different choice of types of processes, differences were found to exist in the types of participants in the RT. This means the type of process of the RT was the same as used in the T, but the participants played different roles. The three occurrences are presented below:

(T) But *the mulatto* can be said to be the central figure in Brazil's "racial democracy," because he was granted entry – albeit limited – into the higher social establishment.

(RT) Pode-se dizer que *o mulato* foi a figura central da "democracia racial" brasileira, por ter escalado permissivamente - embora com limitações - ao cume social mais elevado.

Excerpt 4.71 - Chapter 2

In 4.71, *the mulatto*, cohesively replaced with “he” in the clause complex, is the Receiver of the material process construed in passive voice in the T (in was granted), whereas *o mulato*, cohesively suppressed in the clause complex was construed as Actor of the active material process ter escalado. Additionally, there is a change in structure of the primary clause in the RT as compared to the T due to the employment of the pronoun “se” that is used as a resource to realise passive voice in Brazilian Portuguese.

(T) In 1819 the total population of approximately 3,6 million was slightly under one-third slave (see Table 1), probably only about 10-15 per cent of the total population being free colored.

(RT) Em 1819, de uma população total de aproximadamente 3600 mil, pouco menos de um terço era constituído de escravos (v. tabela 1). *Os homens livres, de cor, representavam* 10% a 15% da população total.

Excerpt 4.72 - Chapter 2

In 4.72, Carrier and Attribute were inverted in the RT; *free colored*, which is the Attribute of “population”, became the Carrier of the characteristic “10% a 15% da população total” in the RT. Besides the embedded clause in the T is constructed as an independent clause in the RT as the clause complex is broken down into two sentences in the RT.

(T) He saw *the mestiço* as an unreliable instrument for racial improvement and quoted Euclides da Cunha's famous passage on the instability of mixed bloods as proof.

(RT) Não via *no mestiço* um instrumento de confiança para a melhoria racial e citava como prova a famosa passagem de Euclides da Cunha sobre a instabilidade dos produtos de miscigenação.

Excerpt 4.73 - Chapter 6

In 4.73, the T construes *the mestiço* as the Phenomenon of the primary clause, and characterises it with the Range “an unreliable instrument”. Differently, the RT construes *o mestiço* as Circumstance, and “um instrumento” becomes the Phenomenon. Additionally, there is a polarity change: in the T, the process is realised in positive polarity (saw), and the Epithet of the Range is realised with the negative prefix “un” in “unreliable”; in the RT, the process is realised in negative polarity (não via), and, in turn, the Phenomenon “instrumento” is post-modified by the positive “confiança” (as opposed to “unreliable”).

#### 4.4.6 Suppression of Relational Processes

Excerpts 4.74 and 4.75 refer to NLC in which a relational process was suppressed and the Attribute was incorporated in the nominal group:

(T) This system of social stratification gave the landowners (who were white – or occasionally light mulatto) a virtual monopoly of power-economic, social, and political.

(RT) Era o sistema de estratificação social, que dava aos proprietários de terras brancos ou, ocasionalmente, mulatos claros virtual monopólio do poder - econômico, social e político.

Excerpt 4.74 - Chapter 2

(T) In any case, it stood as a law of the land, countersigned by the President and his Minister of Agriculture, Francisco Glicério, who was, ironically enough, a mulatto.

(RT) De qualquer maneira, tinha força de lei, assinado que era pelo presidente da República e contra-assinado pelo seu ministro da Agricultura, Francisco Glicério, por ironia, um mulato.

Excerpt 4.75 – Chapter 4

In the excerpts above, the relational processes construing the *mestiço* are realised as embedded clauses in the T that serve to expand the primary clause in terms of elaboration. In the RT, the translator chose to construe the Attribute as Classifier in 4.74, and as a Qualifier in apposition in 4.75.

This subsection was the last part of quantitative and qualitative discussion of data. I turn now to the contextual exposition in which I comment upon Silva’s (1979) critique on PB.

#### 4.4 Contextual Discussion – Silva, 1979: The indictment of silence, the complier

This subsection refers to the second objective of the present study: to connect textual findings with contextual motivations. This subsection refers to a critique written soon after *Preto no Branco* (PB) was published in Brazil.

In 1979, Brazilian History Professor Janice Theodoro da Silva published an article entitled “Contra Thomas Skidmore: silêncio no Uraricoera?” in the Brazilian journal *Encontros com a Civilização Brasileira*, which is devoted to articles about Brazilian culture, literature and history. In the article, Silva speaks her mind as regards the publication of PB in Brazil, which constitutes the RT of the corpus of the present study. Silva comments on the wide acceptance of PB equally by Brazilian leftists and rightists, which to her “[this acceptance] hides a big mistake, which may be rooted in the same racial ideology that constitutes a certain way of explaining and understanding Brazil<sup>32</sup>” (p. 210, my translation).

Silva argues that, at that time, the seventies, Brazil was going through a “devitalizing” period in the academy due to the lack of capability to prepare researchers with critical minds in Brazilian universities (p. 210). Additionally, this hindered Brazilians from considering more deeply Brazilian “real problems”. Thus the presence of Brazilianists’ studies in Brazil, more specifically Skidmore’s, provided Brazilian readers with a smooth version of Brazilian political and sociological problems of that time.

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<sup>32</sup> “Parece que, na base de tal aceitação, esconde-se um grande equívoco, que talvez esteja na raiz mesma da ideologia racial que compõe uma certa maneira de explicar e entender o Brasil.” (Silva, 1979, p. 210)

To her, PB clearly illustrates

este processo no qual a figura alienante e alienada do historiador, *para não se dar conta da estrutura na qual está inserido*, procura através de uma “falsa ciência” eliminar (através de uma falsa absorção) todas as *versões* que não pode apreender em seu universo conceitual, sobre as quais não tem domínio. É neste quadro que o positivismo reafirma seus mitos de objetividade científica baseando-se, em parte, numa polêmica que se sustenta na coleta infinita de dados (“inéditos”, de preferência) e, portanto, de recomposição do fato analisado<sup>33</sup>. (p. 211, italics added)

Silva’s reflection provides a sound basis for saying that PB deals precisely with the “fake science” that long dominated racial thought in Brazil during nineteenth and twentieth centuries and seems to narrate “Brazilian intellectual thought” based on the same “fake science”. In due course, Silva accuses Skidmore of reaffirming racism under the mask of science. Silva adds that one of PB’s most serious intentions is stated in its preface: to pursue “the continuity of elite thought on one question they [the elite] considered fundamental to their nation’s future.” (Skidmore, 2005, p. xxii). This “one question” is dealt throughout the book as the problem of miscegenation, which would make of Brazil a country of “degenerated” people (Skidmore, 2005, p. 56 when referring to “the mulatto degeneracy”). Furthermore Silva says that this “continuity of elite thought” cannot be interpreted only by one referential framework whose authors are attached to an ideological system so as to legitimise their point of view with old and new types of domination (Silva, 1979, p. 212).

This ideological system can be contextualised as one which arose during abolition of slavery and the beginning of Brazilian emancipation from the Portuguese Crown. At that time, new forms of work were needed, and accordingly new social

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<sup>33</sup> “this process in which the historian, an alien and alienated character, aims at eliminating all *versions* which he cannot apprehend from his own conceptual universe, all versions which he does not master, in order not to realise the structure in which he is inserted by means of a “fake science” and a “fake absorption”. Within this framework, positivism reaffirms its particular myths of scientific objectivity, and it is based on the polemics of sustaining an infinite range of data collection (preferably “inedita”), being this data collection a recomposition of the fact analysed.” [my translation]

relations were established. Former slaves would now be paid workers, that is, people who would buy in order to provide basic needs, such as eating and dressing. This new capitalist framework in which Brazil was inserted came along with “whitening theories” (see Skidmore, 2005, pp. 199-255), mazed within pseudoscientific premises which foresaw Brazilian development based on *better* racial combinations, always looking forward to getting rid of the *black* ingredient.

To Silva (1979), PB presents a panorama embedded in much racial prejudice against which he does not fight. Silva rounds off her article by saying:

Skidmore encontrou a porta de entrada pela qual sugeriu a necessidade da “nossa democracia” se legitimar. Ilusões “democráticas”. Pela política *tout court* seria mais arriscado. Preferiu a “ciência”. E, em nome dela, retomou a ideologia da classe dominante, deixando de fora alguns autores que desmistificavam as mitologias em curso. Além disso, reorganizou, ainda, e numa mesma linhagem, trabalhos diametralmente opostos, conseguindo neutralizar o pensamento crítico<sup>34</sup>. (Silva, 1979, p. 221)

Hence PB’s *neutral* narrator of strangely arranged facts, in consonance with Silva’s opinion, seems to comply with the concept of *science* that for a long time confined *non-whites* to an inferior realm in society, thus eligible for racial prejudice. The narrator’s so-called neutrality might be read as preferring to remain silent before the facts presented.

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<sup>34</sup> Skidmore found the entry point by which he suggested the need for “our democracy” to become legitimate. “Democratic” illusions. By means of *tout court* politics it would be riskier. Skidmore preferred “science”. And, on behalf of “science”, Skidmore resumed the ideology of the dominant class leaving behind some authors who could demystify those myths. Pursuing this further, Skidmore aligned diametrically opposite works in a way that he neutralised critical thought. [my translation]

## 4.5 Final Considerations

To round off this chapter, a few observations are to be made here. As regards Silva (1979), data analysis seems to echo and to provide linguistic evidence to her critique. The absence of some sources to some definitions and commentaries in BW and PB denounce some lack of rigour – hardly accepted in academic texts. Additionally, some semantic nuances, especially remarkable in the RT, construe the animalisation of the *mestiço*, which echoes Silva's attribution of "science fiction" to PB. Contextual discussion would merit investigation of a more theoretical kind, drawing on frameworks capable of accounting for power relations.

In a broad sense, T and RT do not diverge in terms of ideational patterns. Thus T and RT seem to construe similar ideational profiles, or close imageries. Nevertheless, instances of NLC may be very interesting points to the study of translation. The *mestiço* is realised, most of the time, in hypotactic, projected or embedded clauses, which grants the *mestiço* a secondary status in the clause complex. The node is realised in independent clauses in instances in which: the *mestiço* is a Sayer, and the node is realised in apposition related to a proper name that individualises the entity, which is said to develop an important social role; or the *mestiço* is accounted for in terms of quantitative demographic data.

The next and last chapter (**Final Remarks**) of this Thesis concludes the present study, revisits general objectives and research questions, points out some of its limitations in terms of issues left undiscussed and provides recommendation for further research.

## CHAPTER FIVE

### Final Remarks

Os brancos são só brancos  
 Os negros são retintos  
 Os brancos têm culpa e castigo  
 E os negros têm os santos  
 Os negros na cozinha  
 Os brancos na sala  
 A valsa na camarinha  
 A salsa na senzala  
 (*Negros*, song by Adriana Calcanhoto)

No Brasil, não há preconceito racial...  
 Aqui o negro reconhece o seu lugar.  
 (Fernandes apud Maia-Freire (1973), p. 8)

The title of the present study, *Black into white and Preto no branco: Can you tell one's colour by the company one keeps?*, represents a metaphor for patterns in language use, the tendency of words and structures to be together, hand in hand, and human behaviour – i.e. the way people relate in society in order to obtain or to appear to be what they wish. Brazilian History is marked by uncountable ethnic mixtures which resulted in a wide spectrum of colour. Slavery taught Brazilians how socially degrading it may be to be *coloured*. However, in Brazilian society, according to Skidmore (2005), there appeared to be one way out of the stigma – beyond skin colour: depending on whom/ what one is associated to, his/her appearance may be camouflaged.

The path followed to carry out the present study was signposted by the general objectives that I paraphrase below:

- (i) Describing the *mestiço* as represented in terms of lexical cohesion and ideational patterns in Skidmore's BW and its translation PB by Barbosa: the first general objective was reached by the application of CL methodological tools combined with the theoretical categories of SFL; and



- (ii) Connecting textual findings with contextual motivations: based on Munday's Four-Phase Interrelated Analysis (2002) (**CHAPTER ONE**), the second general objective was to relate empirical data derived from (i) – the first general objective – to contextual aspects (elaborated in **CHAPTER FOUR**) spelled out when discussing Silva's (1979) critique.

The general objectives were then translated into the more focused research questions (RQ), which I revisit so as to ponder over this discussion. The RQs are transcribed below:

- (i) How are the *mestiços* construed in terms of processes in the ideational metafunction of language both in BW (T) and PB (RT)? Do ideational patterns arise in the two representations? If so, which?

The entity *mestiço* is construed in the T and in the RT by all types of processes but behavioural processes. This might be read as a characteristic proper of the genre of the object of the present study: the academic narrative is not concerned with representing human physical actions as derived from psychological states, but it is concerned with outward aspects of characters. In both T and RT, material and relational processes predominate in the following pattern of frequency: **material > relational > verbal > mental > existential**. Except for very few different realisations in the RT, due to instances of NLC, at times, derived from the election of different types of processes, and, at times, derived from nominalisations, in broad terms, it is possible to affirm the *mestiço* is realised as an entity that is being defined and compared, and that is being related to physical actions.

In taking a closer look at transitivity patterns in BW and PB, **material processes** construe the *mestiço* predominantly as **Actor** (approximately 67.5% of material

participants in the T, and 59.5% in the RT), and second as **Goal** (approximately 25% of material participants in the T, and 33.3% in the RT). When represented as Actor, the *mestiço* is mostly construed in hypotactic clauses (approximately 63.2% of material clauses) which grant a secondary position to the entity. The 36.8% of clauses in which the *mestiço* is realised as an Actor in independent clauses is when s/he is construed as: (i) a creative entity – opposed to transformative – that exists as part of demographic rates, therefore s/he does not play an active role in altering reality or affecting other entities; and (ii) an individual – a transformative entity –, at the few instances when the *mestiço* is construed as individualising being – as opposed to being construed as a member of the class *mestiço*. Whenever construed as an individual, the *mestiço* is necessarily rendered as a member of the elite.

**Relational processes** reveal the *mestiço*'s ability to camouflage, in order words, telling her/his colour by the company s/he keeps. When construed as **Carriers** (which represents about 63.2% of relational participants in the T and 66.6% in the RT), the entity *mestiço* is employed to characterise large populational groups – a monolithic class –, especially when referring to ex-slaves and when dealing with political and economical decisions on whether Brazil was striding towards a liberal country or not. Some *mestiços* are placed on the same level as “poor whites” (**Excerpt 4.29**), and others are more prestigious when well accompanied and light coloured (**Excerpt 4.30**, p. 77). The combination of the effects of racism, class and gender (although the latter does not apply here) as markers of subordination can be read as *intersectionality*. These phenomena create risk factors for social harassment – racial-based and gender-based prisons (cf. Chrenshaw, 2006). Although this phenomenon merits attention, I had to leave it underdiscussed as it is out of the scope of the present study.

- (ii) Is the cohesive chain of the RT different from that of the T?

No, the RT does not present a considerably different cohesive chain from that of the T. The RT tends to employ lexemes which are correspondent to those of the T, and construes a cohesive chain fairly alike to the T. At times the RT adds to the nominal group containing the node *mestiço* a Qualifier which is not part of the nominal group in the T (as, for example, **Excerpt 4.30**) or exchanges the polarity of verbal and nominal groups (e.g. **excerpt 4.34**) which can be read as an indication that the RT tends to be more prejudicial than the T in the sense that it reinforces the inferiority of the entity *mestiço*. There are few occurrences in which the RT uses a lexeme different from the usually correspondent one, for example, **Excerpt 4.32** and **4.50** render the *mestiço* as the synonymous *mixed bloods*, whereas the RT chooses to repeat *mestiços*. That does not seem impactful to the point of producing an instance of ideation distant from the T's. It simply acknowledges the exchanging nature of the lexemes in the narrative, quite present in the T and in the RT.

- (iii) Do T and RT reaffirm the racist thought of 1880-1930?

This question can only be responded after considering RQ (i) and what the racist thought of 1870-1930 was. Based on BW/ PB, I consider Brazilian racist thought to be echoed in all voices evoked by the narrator which were allied to Racial Determinism. Skidmore may have unveiled the racist nature of Brazilian elite, which struggled for decades to be accepted by Europeans and Anglo-Saxon world. However, the historical period described refers to preceding events that triggered abolition of slavery in Brazil, which nothing had to do with human rights, but economic interests, until the promulgation of the first North American laws that attempted at allowing blacks to

come and go to the same places of whites at the same time. As represented by Skidmore (2005), Brazil did nothing more than follow the North American model, and once again, not out of a pure heart willing to fight for human rights, but out of a strong international political interest.

Silva (1979) claims she could not understand how Skidmore's (1976, p. 209) translation into Portuguese could be included among social studies in Brazil in the seventies. In a time when Brazil was still under dictatorship, she bitterly accused Skidmore's work of "pseudo-science" and "science fiction" (p. 221). In contrasting her comments with data obtained and discussed in **Chapter FOUR**, which revealed much of an animalised representation of the *mestiço*, I feel tempted to say that I could not agree more.

Following this line of reasoning, T and RT are studies published in the seventies of the twentieth century, when discussions on the 'whitening' ideal and inferior/superior races were already becoming old-fashioned. Yet T and RT bring those determinist issues to light again as if corroborating what Skidmore claims to be the Brazilian intellectual thought of 1870-1930. The apparent neutrality of language observed in the voice of the narrator in both T and RT does not explicitly agree nor disagree with racist voices that weave the narrative, and thus silently reaffirms what he witnesses.

Aside from responding RQs (i), (ii) and (iii), I must account for some limitations of the present study. In **Chapter TWO**, I stated the present study was framed by Munday's (2002) Four-Phase Interrelated Analysis. Munday's model proposed to investigate T and RT language systems as well as respective cultural contexts. Unfortunately, it was not possible to collect information (nothing similar to the critique

of the RT, for example) about the cultural context of the T, which does not allow me to draw further critical conclusions on the production of the T, but only some objective historical considerations of the period when the T was written. Much time was spent on defining and refining units of analysis, which ended up as presented in **Chapter FOUR**, so as to cover all chapters of T and RT providing a large picture of the *mestiço*'s ideational profile.

When analysing data, it was possible to perceive on intuitive bases different levels of narration, and, consequently, different narrative voices. Yet this could not be developed any further as the frameworks informing my research did not provide the appropriate methodological and theoretical interventions. In this sense, data description could benefit from a deeper look at logical relations within the clause complex even though, at first, I did not intend to so. From verifying that the *mestiço* was construed in mostly hypotactic and projected clauses, it was possible to account for the background position to which the entity *mestiço* was submitted in BW and PB, and also to point to the presence of multiple voices in the text. This issue of voices is left here under-discussed and it is suggested for further investigation.

The prominence of processes varies from chapter to chapter. That may indicate differences in the narrative which could be interesting for further research as mentioned above. BW and PB display a typically academic transitivity pattern (cf. C. Magalhães in personal communication, 2 March, 2009) in which it reports events, describes different scenarios and characters, but it also presents a considerably high rate of mental processes, which is, at least, a curious characteristic for an academic text.

In thinking of the contribution of the present study to the field, Williams and Chesterman (2002), in the Introduction of *The Map*, a guide book for researchers in Translation Studies, list four main ways in which a piece of research may contribute to

the field. I believe the present study has contributed in three of the four possible ways of contribution: “[by] providing new data”, “[by] testing (...) an existing (...) methodology”, and “[by] proposing a new idea” (apud, p. 2) to the interfaces among TS, SFTS and CTS.

To me, this Thesis constitutes a humble attempt to stimulate critical thinking based on language description. I expect that the present study may foster the curiosity to investigate the intricate and sophisticated relations created and established by language. As a result, I wish that, by means of describing language, and thus handling language more consciously, the academic environment may be more assertive in stimulating more critical minds.

All things considered, I would like to conclude with a remarkable quote of the anthropologist Klukhohn cited by the social psychologist Allport (1979, p. 197) in *The Nature of Prejudice*: “Though the concept of race is genuine enough, there is perhaps no field of science in which the misunderstandings *among educated people* are so frequent and so serious” [my italics].

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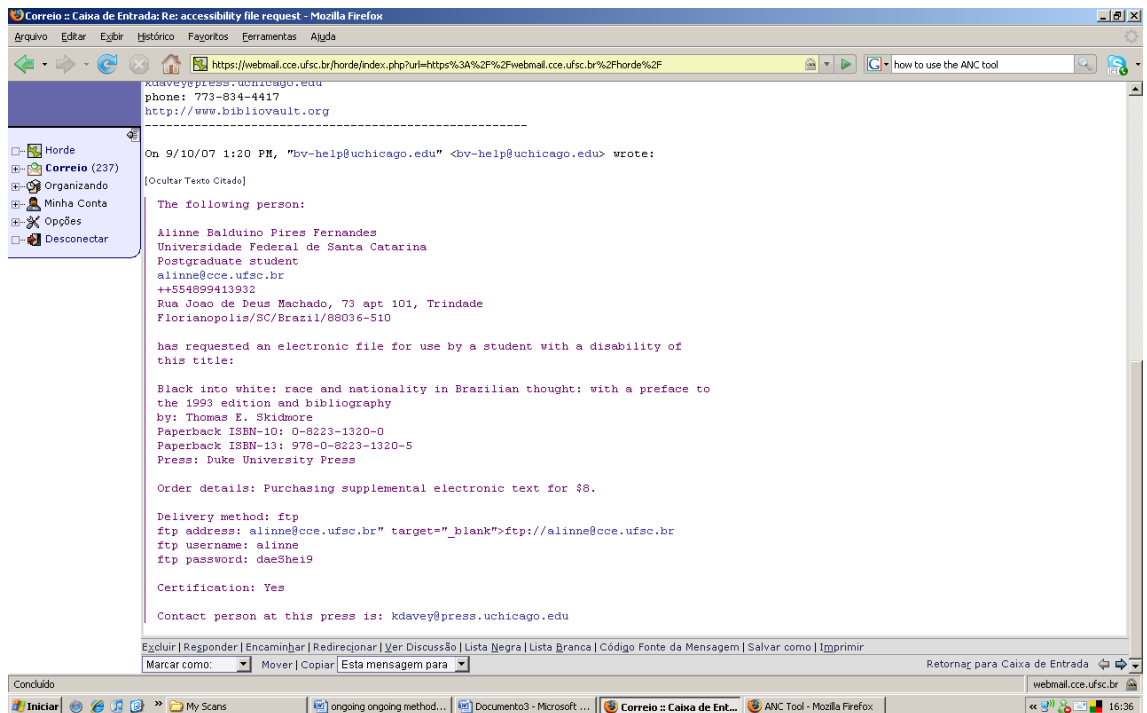
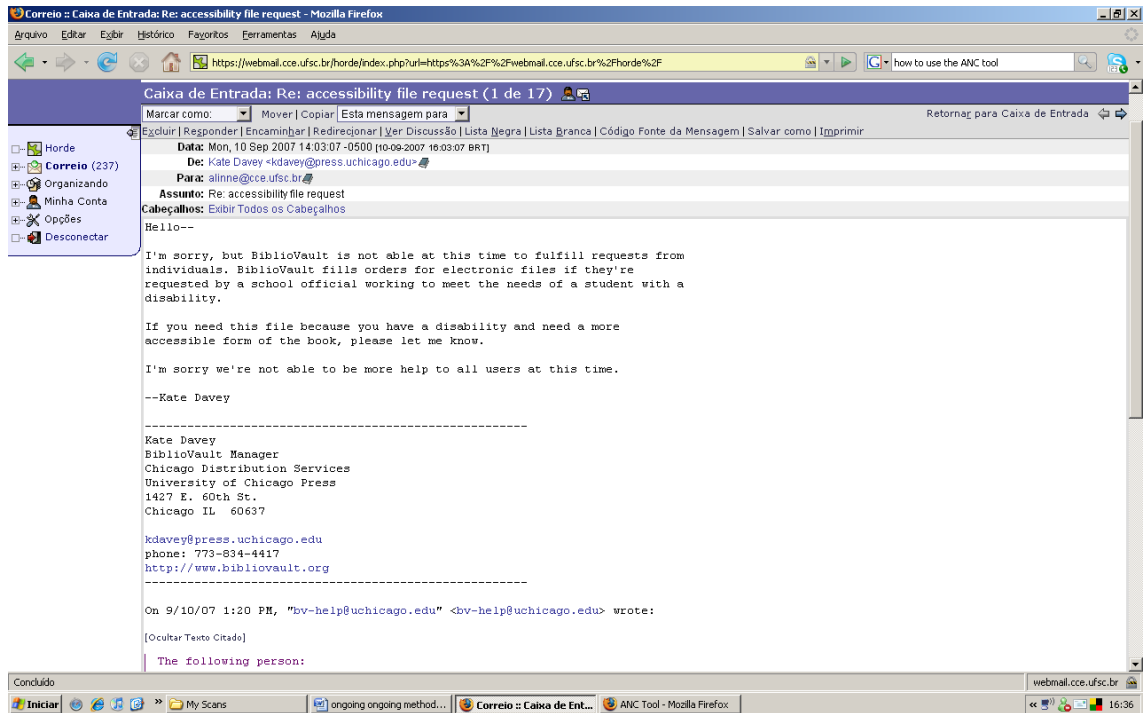
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**Corpus**

Skidmore, T. (1976). *Preto no Branco: Raça e Nacionalidade no Pensamento Brasileiro*. Barbosa, R. (trans.). São Paulo: Paz e Terra.

Skidmore, T. (2005). *Black into white: race and nationality in Brazilian thought*. 2. ed. Durham and London: Duke Press University.

## APPENDIX 1

Emails exchanged with *Bibliovault* requesting the T in electronic format

Correio :: Caixa de Entrada: Re: accessibility file request - Mozilla Firefox

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https://webmail.cce.ufsc.br/horde/index.php?url=https%3A%2F%2Fwebmail.cce.ufsc.br%2Fhorde%2F

Caixa de Entrada: Re: accessibility file request (3 de 17)

Marcar como: Mover | Copiar | Esta mensagem para

Retornar para Caixa de Entrada

Exibir | Responder | Encaminhar | Redirecionar | Ver Discussão | Lista Negra | Lista Branca | Código Fonte da Mensagem | Salvar como | Imprimir

Data: Fri, 21 Sep 2007 18:15:52 -0500 (1+09-2007 20:15:52 BRT)

De: Kate Davey <kdavey@press.uchicago.edu>

Para: alinne@cce.ufsc.br

Assunto: Re: accessibility file request

Cabeçalhos: Exibir Todos os Cabeçalhos

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I'm sorry BiblioVault can't be more help for you.

Best,  
--Kate

On 9/19/07 8:56 AM, "alinne@cce.ufsc.br" <alinne@cce.ufsc.br> wrote:

[Ocultar Texto Citado]

Dear Mrs Davey,

I am a post-graduate student at the Brazilian university Universidade Federal de Santa Catarina, in the south of the country. The book "Black into white: Race and nationality in Brazilian thought", written by prof. Skidmore, is my object of research.

I have already purchased the paperback version of the book, but I still need

Concluído

webmail.cce.ufsc.br

My Scans ongoing ongoing method... Documento3 - Microsoft... Correio :: Caixa de Ent... ANC Tool - Mozilla Firefox 16:38

Correio :: Caixa de Entrada: Re: accessibility file request - Mozilla Firefox

Arquivo Editar Exibir Histórico Favoritos Ferramentas Ajuda

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Caixa de Entrada: Re: accessibility file request (3 de 17)

Marcar como: Mover | Copiar | Esta mensagem para

Retornar para Caixa de Entrada

Exibir | Responder | Encaminhar | Redirecionar | Ver Discussão | Lista Negra | Lista Branca | Código Fonte da Mensagem | Salvar como | Imprimir

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Best,  
--Kate

On 9/19/07 8:56 AM, "alinne@cce.ufsc.br" <alinne@cce.ufsc.br> wrote:

[Ocultar Texto Citado]

Dear Mrs Davey,

I am a post-graduate student at the Brazilian university Universidade Federal de Santa Catarina, in the south of the country. The book "Black into white: Race and nationality in Brazilian thought", written by prof. Skidmore, is my object of research.

I have already purchased the paperback version of the book, but I still need it in electronic format. As a student at the Applied Linguistics department, the electronic version is crucial for my empirical analysis.

I am aware that BiblioVault supplies books for students with a disability. Do you answer only disabled students' requests? May the the institution I attend purchase the book on my behalf?

Sincerely,

Alinne Fernandes

Quoting Kate Davey <kdavey@press.uchicago.edu>:

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--Kate Davey

-----

Kate Davey  
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**Data:** Tue, 16 Oct 2007 08:48:58 -0500 (16-10-2007 11:48:58 BRT)

**De:** Marie Slivka <msslivka@press.uchicago.edu>

**Para:** alinne@cce.ufsc.br

**Assunto:** RE: electronic format request

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Regards,  
Marie Slivka

-----Original Message-----  
From: alinne@cce.ufsc.br [mailto:alinne@cce.ufsc.br]  
Sent: Tuesday, October 16, 2007 8:29 AM  
To: custserv@press.uchicago.edu  
Subject: electronic format request

Dear sir,

I would like to request "Black into white: race and nationality in Brazilian thought", by prof. Thomas Skidmore, in electronic format. I have already contacted Bibliovault, but for some reason, they cannot attend my request, and suggested that I order it from you.

I am a postgraduate student at the Brazilian University, Universidade Federal de Santa Catarina, in Florianópolis, SC. I attend the Applied Linguistics Department, and work with Corpora Linguistics, an area which deals with computerized texts.

Is it possible to purchase the electronic version from you? I already have the book, and I have scanned it, but it is too much hassle correcting all errors.

Sincerely,  
Alinne Fernandes

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## APPENDIX 2

## Figures of the T; Alignment; and RT – Chapter 1

Temas Configurar Página Plano de Fundo da Página Parágrafo Organizar

<corpus><text><chaptitle>1 The intellectual context of abolition in Brazil</chaptitle>

<subtitle>The Brazil of 1865</subtitle>

<p>In 1865 Brazil stood out in the Americas as a political anomaly – an Empire with a hereditary monarchy. While the Spanish Americans had fought to expel the Spanish crown in toto, the Brazilians marched to independence under the royal banner of one Braganza fighting the rest of Portuguese royalty. Brazil also stood out as an economic and social anomaly – an essentially rural economy that continued to tolerate slavery, despite the end of the slave trade in 1850. Both the traditional sugar plantations of the North and the newly booming coffee plantations of the South were fueled by slave labor.</p>

<p>In 1865 Brazil was Catholic, although, compared to New Spain, the Brazilian Church lacked both the wealth and the personnel to operate as a powerful and independent institution. The Catholic Church had been reorganized as the established church under the Brazilian Constitution of 1824. Cemeteries were owned and administered by the Church; public primary and secondary education was made a Church responsibility; neither civil marriage nor divorce was permitted; non-Catholics could not be elected to the national assembly; and non-Catholics (although permitted to gather for worship) could not give their meeting the external appearance of a church. The same Constitution, however, brought a large part of Church finances under Imperial control. Along with this weak power base, the nineteenth-century Brazilian Church had inherited a less militant tradition than that of the crusading Spanish Church. The Brazilian clergy's reputation for personal corruption reflected a similar spirit. As a result, although individual clergy were active in politics, especially in the early Empire, the

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<!--L1, S 1-->1 The intellectual context of abolition in Brazil  
<!--L2, S 1-->1 O contexto intelectual da abolição no Brasil  
<!--L1, S 2-->The Brazil of 1865  
<!--L2, S 2-->O Brasil de 1865  
<!--L1, S 3-->In 1865 Brazil stood out in the Americas as a political anomaly – an Empire with a hereditary monarchy.  
<!--L2, S 3-->Saltava aos olhos que o Brasil de 1865 – Império com monarca hereditário – era uma anomalia política nas Américas.  
<!--L1, S 4-->While the Spanish Americans had fought to expel the Spanish crown in toto, the Brazilians marched to independence under the royal banner of one Braganza fighting the rest of Portuguese royalty.  
<!--L2, S 4-->Enquanto os hispano-americanos tinham lutado para livrar-se da coroa espanhola in totum, os brasileiros marcharam para a independência sob a bandeira de um Bragança que enfrentava, assim, o resto da realeza de Portugal.  
<!--L1, S 5-->Brazil also stood out as an economic and social anomaly – an essentially rural economy that continued to tolerate slavery, despite the end of the slave trade in 1850.  
<!--L2, S 5-->O Brasil era, também, uma flagrante anomalia econômica e social – uma economia essencialmente agrária que continuava a tolerar a escravidão, apesar do fim do tráfico, em 1850.  
<!--L1, S 6-->Both the traditional sugar plantations of the North and the newly booming coffee plantations of the South were fueled by slave labor.  
<!--L2, S 6-->Tanto as plantações tradicionais de açúcar no Nordeste quanto as novas e prósperas plantações de café do Centro-Sul dependiam do braço escravo.

Temas Configurar Página Plano de Fundo da Página Parágrafo Organizar

<corpus><text><chaptitle>1 O contexto intelectual da abolição no Brasil</chaptitle>

<subtitle>O Brasil de 1865</subtitle>

<p>Saltava aos olhos que o Brasil de 1865 – Império com monarca hereditário – era uma anomalia política nas Américas. Enquanto os hispano-americanos tinham lutado para livrar-se da coroa espanhola in totum, os brasileiros marcharam para a independência sob a bandeira de um Bragança que enfrentava, assim, o resto da realeza de Portugal. O Brasil era, também, uma flagrante anomalia econômica e social – uma economia essencialmente agrária que continuava a tolerar a escravidão, apesar do fim do tráfico, em 1850. Tanto as plantações tradicionais de açúcar no Nordeste quanto as novas e prósperas plantações de café do Centro-Sul dependiam do braço escravo.</p>

<p>Em 1865 o Brasil era um país católico, embora, comparada à da Nova Espanha, a igreja brasileira não tivesse nem a riqueza nem o pessoal necessários para funcionar adequadamente como instituição poderosa e independente. A Igreja Católica fora reorganizada como igreja oficial pela constituição brasileira de 1824. Os cemitérios eram de sua propriedade e administrados por ela; o ensino primário e secundário haviam sido confiados à sua responsabilidade; nem o casamento civil nem o divórcio eram permitidos; e os não-católicos (embora tivessem o direito de reunir-se para o culto) não podiam dar ao seu lugar de reunião aspecto exterior de

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## APPENDIX 4

Processes realising the *mestiço*

Processes	Chap. 1	Chap. 2	Chap. 3	Chap. 4	Chap. 5	Chap. 6	Chap. 7	Total	%
<b>Material</b>	5	23	0	1	3	9	11	52	39,7
<b>Mental</b>	4	8	1	1	0	3	1	18	13,7
<b>Relational</b>	6	19	2	2	1	4	4	38	29
<b>Verbal</b>	5	14	1	0	0	0	0	20	15,3
<b>Behavioural</b>	0	0	0	0	0	0	0	0	0
<b>Existential</b>	1	2	0	0	0	0	0	3	2,3
<b>Total</b>	21	66	4	4	4	16	16	131	100

Table 4.1 – Quantitive panorama of processes realising the *mestiço* in the T

Processes	Chap. 1	Chap. 2	Chap. 3	Chap. 4	Chap. 5	Chap. 6	Chap. 7	Total	%
<b>Material</b>	4	21	0	1	1	8	9	44	37
<b>Mental</b>	4	5	1	1	0	1	1	13	10
<b>Relational</b>	4	19	2	1	1	5	4	36	30,3
<b>Verbal</b>	5	14	1	0	0	3	0	23	19,3
<b>Behavioural</b>	0	0	0	0	0	0	0	0	0
<b>Existential</b>	1	2	0	0	0	0	0	3	2,5
<b>Total</b>	18	61	4	3	2	17	14	119	100

Table 4.2 – Quantitive panorama of processes realising the *mestiço* in the RT

## APPENDIX 5

## Tentative graphs of patterns of processes in citations in the T and in the RT

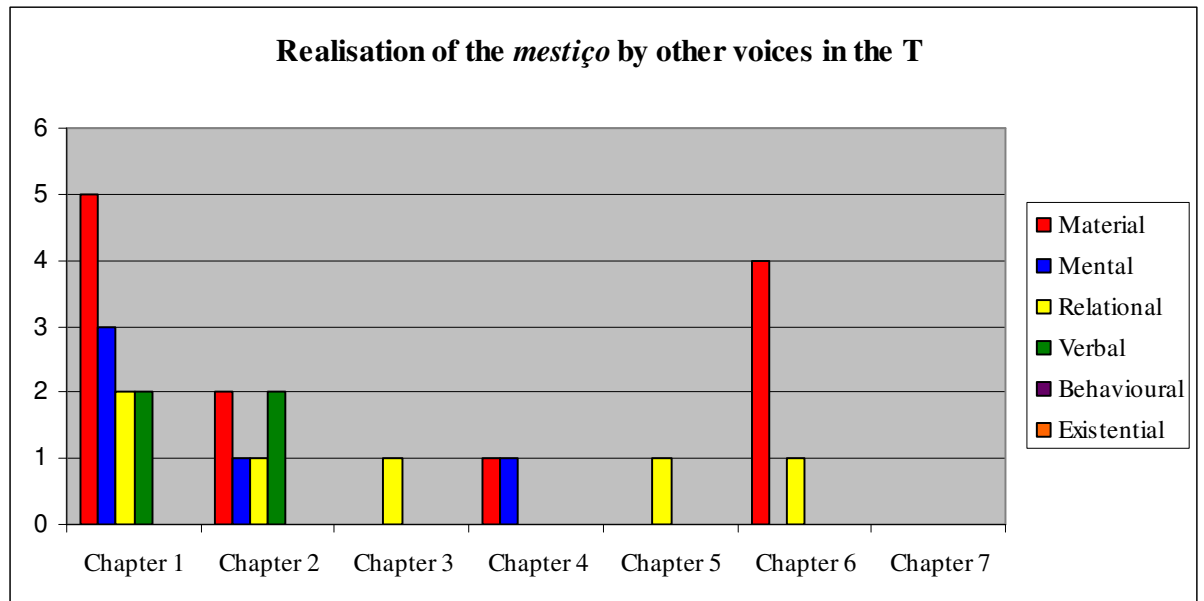
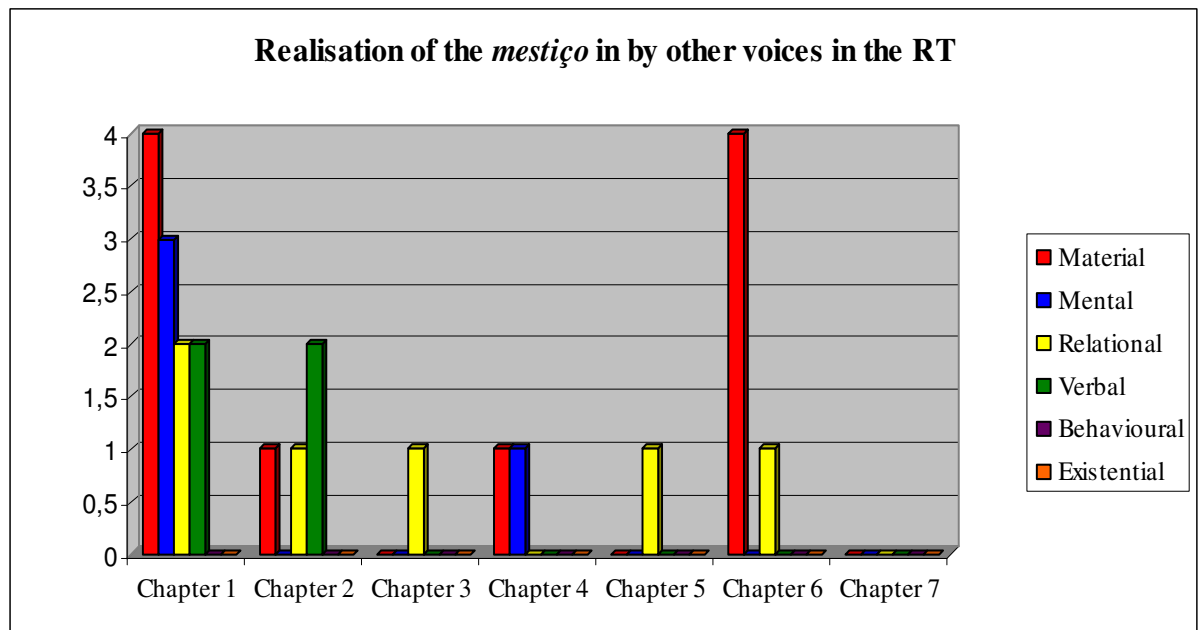


Figure 4.7 – Patterns of processes in citations in the T

T	Chap. 1	Chap. 2	Chap. 3	Chap. 4	Chap. 5	Chap. 6	Chap. 7	Total	%
<b>Material</b>	5	2	0	1	0	4	0	12	44,4
<b>Mental</b>	3	1	0	1	0	0	0	5	18,5
<b>Relational</b>	2	1	1	0	1	1	0	6	22,2
<b>Verbal</b>	2	2	0	0	0	0	0	4	14,8
<b>Behavioural</b>	0	0	0	0	0	0	0	0	0
<b>Existential</b>	0	0	0	0	0	0	0	0	0
<b>Total</b>	12	6	1	2	1	5	0	27	100

Table 4.3 – Quantitive panorama of processes realising the *mestiço* in citations in the T



**Figure 4.8 – Patterns of processes in citations in the RT**

RT	Chap. 1	Chap. 2	Chap. 3	Chap. 4	Chap. 5	Chap. 6	Chap. 7	Total	%
<b>Material</b>	4	1	0	1	0	4	0	10	41,7
<b>Mental</b>	3	0	0	1	0	0	0	4	16,7
<b>Relational</b>	2	1	1	0	1	1	0	6	25
<b>Verbal</b>	2	2	0	0	0	0	0	4	16,7
<b>Behavioral</b>	0	0	0	0	0	0	0	0	0
<b>Existential</b>	0	0	0	0	0	0	0	0	0
<b>Total</b>	11	4	1	2	1	5	0	24	100

**Table 4.4 – Quantitive panorama of processes realising the *mestiço* in citations in the RT**

## APPENDIX 6

### Participants

	Chap. 1		Chap. 2		Chap. 3		Chap. 4		Chap. 5		Chap. 6		Chap. 7	
	T	RT	T	RT	T	RT	T	RT	T	RT	T	RT	T	RT
<b>Actor</b>	3	2	12	10	0	0	1	1	1	1	3	2	7	6
<b>Goal</b>	0	0	7	4	0	0	0	0	0	0	4	4	1	1
<b>Recipient</b>	0	0	1	3	0	0	0	0	0	0	0	0	1	1
<b>Client</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Scope</b>	0	0	1	1	0	0	0	0	0	0	0	1	0	0
<b>Senser</b>	0	0	3	2	0	0	0	0	0	0	0	0	0	0
<b>Phenomenon</b>	5	5	4	3	1	2	1	1	0	0	1	0	1	0
<b>Carrier</b>	6	4	8	9	3	3	1	0	1	1	2	2	3	3
<b>Attribute</b>	3	3	6	2	0	0	1	1	0	0	0	1	0	0
<b>Token</b>	0	0	3	3	0	0	0	0	0	0	0	0	0	0
<b>Value</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Sayer</b>	3	3	1	1	0	0	0	0	0	0	0	0	0	0
<b>Receiver</b>	0	0	2	4	0	0	0	0	0	0	0	0	0	0
<b>Verbiage</b>	0	0	3	3	0	0	0	0	0	0	1	1	0	0
<b>Target</b>	0	0	3	2	1	0	0	0	0	0	1	1	0	1
<b>Locution</b>	1	1	0	0	0	0	0	0	0	0	0	0	0	0
<b>Behaver</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Behaviour</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Existent</b>	0	0	2	2	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	21	18	56	49	5	5	4	3	2	2	12	12	13	12

<b>Percentages</b>	<b>T %</b>		<b>RT %</b>	
<b>Actor</b>	27	24,107143	22	21,782178
<b>Goal</b>	10	8,9285714	9	8,9108911
<b>Recipient</b>	2	1,7857143	4	3,960396
<b>Client</b>	0	0	0	0
<b>Scope</b>	1	0,8928571	2	1,980198
<b>Senser</b>	3	2,6785714	2	1,980198
<b>Phenomenon</b>	13	11,607143	11	10,891089
<b>Carrier</b>	24	21,428571	22	21,782178
<b>Attribute</b>	10	8,9285714	7	6,9306931
<b>Token</b>	3	2,6785714	3	2,970297
<b>Value</b>	1	0,8928571	1	0,990099
<b>Sayer</b>	4	3,5714286	4	3,960396
<b>Receiver</b>	2	1,7857143	4	3,960396
<b>Verbiage</b>	4	3,5714286	4	3,960396
<b>Target</b>	5	4,4642857	4	3,960396
<b>Locution</b>	1	0,8928571	1	0,990099
<b>Behaver</b>	0	0	0	0
<b>Behaviour</b>	0	0	0	0
<b>Existent</b>	2	1,7857143	2	1,980198
	112	100	101	100

## APPENDIX 7

## Cohesive Chain

Chapter 1	Type of cohesive relation	The Intellectual Context of Abolition in Brazil/ O Contexto Intelectual da Abolição no Brasil
Voice	(mestiço)	Occurrences
Narrator	Superordinate	<0010122> <i>The free man of color</i> , <0010161> who <0010360> existed at every level of Brazilian society, <0010320> was conspicuously ignored by <0010121> the Romantic authors.
Narrator	Superordinate	<0010122> <i>O homem livre de cor</i> , que existia em todos os níveis da sociedade brasileira, <0010320> era conspicuamente ignorado pelos <0010121> escritores românticos.
Narrator	Hyponymy (proper noun – individualisation)	<0010141> <i>Luiz Gama, a fiery mulatto lawyer and pioneer abolitionist</i> from São Paulo, <0010340> commended <0010142> to his son's attention <0010143> two books: the Bible and Ernest Renan's Life of Jesus.
Narrator	Synonymy (proper noun – individualisation)	<0010141> <i>Luís Gama, o explosivo advogado mulato de São Paulo, pioneiro da Abolição</i> , <0010340> recomendava <0010142> à atenção de seu filho <0010143> dois livros: a Bíblia e A Vida de Jesus, de Renan.
Narrator	Superordinate	The abolitionists were, however, very ready to take a position on whether a liberal society was possible if <0010131> a large part of the population <0010330> was <0010132> <i>non-white</i> .
Narrator	Superordinate	Os abolicionistas estavam, todavia, prontos a tomar posição no que dizia respeito à questão de saber se era possível uma sociedade liberal quando <0010131> grande parte da população <0010330> era <0010132> <i>não-white</i> .
P. Malheiro	Superordinate	"Gentlemen, <0010121> I <0010320> know <0010122> <i>many individuals of dark skin</i>
P. Malheiro	Superordinate	"Senhores, <0010121> eu <0010320> conheço <0010122> <i>muitos indivíduos de pele escura</i>
P. Malheiro	Superordinate	In the schools, higher faculties, and churches do <0010121> we not <0010320> see <0010122> <i>good colored students</i> alongside our distinguished men?
P. Malheiro	Superordinate	Não <0010121> Ø <0010320> vemos nas escolas, nas academias, nas igrejas, ao nosso lado, <0010122> <i>homens distintos, bons estudantes, de pele de cor?</i>
P. Malheiro	Superordinate/ Repetition	In Parliament, government, the Council of State, the diplomatic missions, the Army, and the public offices do <0010121> we not <0010320> see <0010122> <i>men whose skin is more or less dark, men of the mestiço*</i> as well as the African race?
P. Malheiro	Superordinate/ Repetition	Não <0010121> Ø <0010320> vemos no parlamento, no governo, no Conselho de Estado, em missões diplomáticas, no exército, nas repartições públicas, <0010122> <i>gente de pele mais ou menos escura, de raça mestiça*</i> mesmo com a africana?
Nabuco	Superordinate	Furthermore, <0010141> recent experience <0010340> had shown that <0010145> " <0010131> <i>color</i> in Brazil <0010330> is not, as in the United States, <0010132> a social prejudice against whose persistence no character, talent, or merit can prevail"
Nabuco	Superordinate	Além disso, <0010141> a experiência recente <0010340> demonstrou que <0010145> " <0010131> <i>a cor</i> , no Brasil, <0010330> não é, como nos Estados Unidos, <0010132> um preconceito social contra cuja obstinação pouco pode o caráter, o talento, e o mérito de quem incorre nele"
Narrator	Hyponymy	<0010141> <i>José do Patrocínio, a mulatto</i> , <0010340> argued <0010145> that Brazil was more blessed historically than the United States

<b>Narrator</b>	Hyponymy	<0010141> <i>José do Patrocínio, um mulato</i> , <0010340> argumentou <0010145> que o Brasil era mais abençoado historicamente que os Estados Unidos...
<b>Gobineau</b>	Hyponymy	<0010142> His aesthetic sense <0010340> was offended by " <0010141-0010111> <i>a population totally mulatto</i> , <0010310> vitiated <0010119> in its blood and spirit, and fearfully ugly".
<b>Gobineau</b>	Hyponymy	Seu senso estético ofendia-se com o espetáculo de " <0010111> <i>uma população totalmente mulata</i> , <0010310> viciada <0010119> no sangue e no espírito e assustadoramente feia".
<b>S. Romero</b>	Repetition	<0010112> He was constantly <0010310> helped in the process by <0010111> <i>the mestiço, his son and his collaborator</i> <0010111> who ended up replacing <0010112> him, <0010111> Ø <0010310> assuming <0010112> his color and his power".
<b>S. Romero</b>	Repetition	Nesse empenho <0010112> Ø foi sempre <0010310> ajudado pelo <0010111> <i>mestiço, seu filho e seu auxiliar</i> , <0010111> que acabará por <0010310> suplantar- <0010112> lo, <0010131> Ø <0010330> tomando- <0010132> <i>lhe a cor e a preponderância</i> ".
<b>Narrator</b>	Synonymy	<0010121> European science <0010320> tended to denigrate <0010122> <i>human mixed bloods</i> as weak and potentially sterile.
<b>Narrator</b>	Synonymy	<0010121> A ciência europeia <0010320> continuava a renegar <0010122> <i>sangues humanos misturados</i> como fracos e potencialmente estéreis.
<b>S. Romero</b>	Hyponymy/ Superordinate	"The proverbial tendency of ... <i>the mulatto</i> to pass for <0010132> white when <0010111> <i>his color</i> <0010310> permits <0010112> the illusion is well known"
<b>S. Romero</b>	Hyponymy/ Superordinate	"É conhecida... <i>a proverbial tendência do pardo, do mulato em geral, a fazer-se passar por</i> <0010132> branco, quando <0010141> <i>sua cor</i> <0010340> pode iludir."
<b>S. Romero</b>	Repetition	"Within two or three centuries perhaps this ethnic fusion will be complete and <0010131> <i>the Brazilian mestiço</i> <0010330> Ø <0010132> well defined."
<b>S. Romero</b>	Repetition	"Dentro de três ou quatro séculos, A fusão étnica estará talvez completa, e <0010131> <i>o brasileiro mestiço</i> <0010330> Ø <0010132> bem caracterizado".
<b>Narrator</b>	Synonymy	Romero's vision of the future depended very much on whether he thought <0010131> <i>the existing racially mixed population</i> <0010330> was <0010132> psychologically stable or not.
<b>Narrator</b>	Synonymy	A visão que Sílvio Romero tinha do futuro ficava a depender da avaliação da estabilidade psicológica da população existente, <i>racialmente mestiça</i> .
<b>Narrator</b>	Repetition/ Substitution	<0010131> <i>The Portuguese term mestiço</i> <0010330> means <0010132> "mixed blood," <0010131> which can <0010330> be <0010132> any "mixture of racial backgrounds, including Indian, African, and European. It should not be confused with the Spanish term mestizo, which has entered English with the primary meaning of a European-Indian mixture.
<b>Narrator</b>	Repetition/ Substitution	<0010131> <i>A palavra portuguesa mestiço</i> <0010330> significa <0010132> "de sangue misturado", <0010131> o que <0010330> inclui <0010132> qualquer mistura de fundo racial, índio, africano e europeu. O termo não deve ser confundido com o espanhol mestizo, que se incorporou ao inglês com o sentido primacial de mistura de europeu e índio.



Chapter 2	Type of cohesive relation (mestiço)	Racial Realities and Racial Thought after Abolition/ Realidades Raciais e o Pensamento Racial depois da Abolição
Voices		Occurrences
Narrator	Hyponymy	<0010111> This system of social stratification gave <0010113> the landowners (<0010131> who <0010330> were <0010132> white – or <i>occasionally light mulatto</i> ) <0010112> a virtual monopoly of power-economic, social, and political.
Narrator	Hyponymy	Era <0010111> o sistema de estratificação social, que <0010310> dava <0010113> aos proprietários de terras brancos ou, ocasionalmente, <i>mulatos claros</i> <0010112> virtual monopólio do poder - econômico, social e político.
Narrator	Superordinate	<0010131> The lower strata, <0010330t1> including <0010132-0010131> poor whites as well as <i>most free coloreds</i> , <0010330> were <0010132> well accustomed to submission and deference.
Narrator	Superordinate	<0010131> As camadas mais baixas da população, inclusive os brancos pobres e <i>a maior parte dos libertos de cor</i> , <0010330> estavam <0010132> acostumadas à submissão e à deferência.
Narrator	Superordinate	This hierarchy, in which <0010131> social classification <0010330> correlated highly with <0010132> <i>color</i> , had developed as an integral part of the slave-based colonial economy.
Narrator	Superordinate	Essa hierarquia, na qual <0010131> a classificação social <0010330> tinha muito a ver com <0010132> <i>a cor</i> , desenvolvera-se como parte integrante da economia colonial fundada no escravo.
Narrator	Superordinate	The newly freed slaves moved into <0010141> the paternalistic multi-racial social structure that <0010340> had long since taught <0010142> <i>free men of color</i> <0010143> the habits of deference in their relationships with employers and other social superiors.
Narrator	Superordinate	Os escravos recém-libertados incorporaram-se à <0010141> estrutura social, multirracial e paternalista, que de há muito <0010340> ensinara aos <0010142> <i>homens livres de cor</i> <0010143> os hábitos de deferência no trato com empregadores e outros superiores sociais.
Narrator	Superordinate	The half-million slaves who were freed in 1888 entered a complex social structure <0010131> that <0010330>included <0010132> <i>free men of COLOR (of every shade)</i> .
Narrator	Superordinate	O meio milhão de escravos libertados em 1888 ingressou, assim, numa estrutura complexa, <0010131> que já <0010330> incluía <0010132> <i>homens livres de cor (de todas as tonalidades)</i> .
Narrator	Superordinate	<0010133-0010135> <i>Skin color</i> , hair texture, facial, and other visible physical characteristics <0010330> were <0010134-0010136> the determinants of the racial category into which a person would be placed by those he met.
Narrator	Superordinate	<0010133-0010135> <i>A cor da pele</i> , a textura do cabelo, e outros sinais físicos visíveis <0010330> determinavam <0010134-0010136> a categoria racial em que a pessoa era posta por aqueles que ficava conhecendo.
Narrator	Hyponymy	The apparent wealth or status of the person being observed, indicated by his clothes or his immediate social company, also influenced the observer's reaction, as indicated by the Brazilian adage "money whitens" – although <0010132> the instances observed usually <0010330> applied to <0010131> <i>light mulatto</i> 4.
Narrator	Hyponymy	A reação do observador podia ser também influenciada pela aparente riqueza ou provável status social da pessoa julgada, então, pelas suas roupas e pelos seus amigos. Donde o cínico adágio brasileiro: "dinheiro branqueia" - se bem que <0010132> isso, na prática, só <0010330> se aplicasse a <0010131> <i>mulatos disfarçados</i> 4.

<b>Narrator</b>	Hyponymy/ Repetition	<0010360> There was always <0010161-0010131> <i>a middle category</i> (<0010330> called <0010132> <i>mulatto or mestiço</i> ) of racial mixtures.
<b>Narrator</b>	Hyponymy/ Repetition	<0010360> Havia sempre <0010161> <i>uma categoria mediária (os chamados mulatos ou mestiços)</i> .
<b>Narrator</b>	Synonymy	Origin could still be thought important in Brazil. <0010111> <i>Upwardly mobile mixed bloods</i> <0010310> often took <0010112> great pains <0010310> to conceal <0010112> their family background.
<b>Narrator</b>	Repetition	As origens podiam ainda ser tidas por relevantes uma vez que <0010111> <i>os mestiços - em ascensão social</i> - <0010310> davam-se <0010112> a grande trabalho para <0010310> esconder <0010112> os seus antecedentes fenotípicos.
<b>Narrator</b>	Hyponymy	And <0010141> such behavior <0010340> suggests <0010145> that <0010121> <i>a mulatto</i> , whose phenotypical features had given him his desired social access, <0010320> felt <0010122> insecure enough <0010320> to believe <001012> his mobility would have been endangered by having his social status redefined because of his family origin 6.
<b>Narrator</b>	Hyponymy	<0010141> Tal comportamento <0010340> sugere <0010145> que <0010121> <i>um mulato</i> , a quem os traços fenotípicos tinham permitido o desejado acesso social, <0010320> podia sentir-se <0010122> ainda suficientemente inseguro <0010320> para temer <0010145> que a sua vivência na sociedade pudesse ficar ameaçada por uma redefinição de status com base nas raízes familiares 6.
<b>Narrator</b>	Hyponymy/ Substitution	But <0010144-0010133-0010135> <i>the mulatto</i> <0010340> can be said <0010330> to be <0010134-0010136> the central figure in Brazil's "racial democracy," because <0010113> he <0010310> was granted <0010112> entry – albeit limited – into the higher social establishment.
<b>Narrator</b>	Hyponymy/ Ellipsis	<0010340> Pode-se dizer <0010145> que <0010133-0010135> <i>o mulato</i> <0010330> foi <0010134-0010136> a figura central da "democracia racial" brasileira, <0010310> por ter escalado permissivamente - embora com limitações - <0010119> ao cume social mais elevado.
<b>Narrator</b>	Superordinate	<0010111> Slaves probably <0010310> outnumbered <0010119> <i>freemen</i> (white and <i>colored</i> ) in Brazil in the seventeenth century; and whites were never in a majority anywhere in Brazil, until immigration markedly altered the racial balance in several states of the South and Center-South 9.
<b>Narrator</b>	Superordinate	Os escravos eram provavelmente, em maior número que <0010131> <i>os homens livres</i> (brancos e <i>de cor</i> ) <0010330> Ø <0010132> no Brasil do séc XVII; e os brancos jamais constituíram maioria em nenhum lugar do Brasil até que a imigração veio alterar radicalmente o equilíbrio racial nos estados do Sul e do Centro-Sul.
<b>Narrator</b>	Superordinate	<0010111> <i>The free colored population</i> <0010310> had apparently grown very rapidly in the nineteenth century.
<b>Narrator</b>	Superordinate	Aparentemente, <0010111> <i>a população livre de cor</i> <0010310> crescera muito depressa no séc XIX.
<b>Narrator</b>	Superordinate	In 1819 the total population of approximately 3.6 million was slightly under one-third slave (see Table 1), <0010131> probably only about 10-15 per cent of the total population <0010330> being <0010132> <i>free colored</i> .
<b>Narrator</b>	Superordinate	Em 1819, de uma população total de aproximadamente 3600 mil, pouco menos de um terço era constituído de escravos (v tabela 1). <0010131> <i>Os homens livres, de cor</i> , <0010330> representavam <0010132> 10% a 15% da população total.

<b>Narrator</b>	Superordinate	During the intervening half-century <0010111> <i>the free colored population</i> <0010310> grew <0010119> to 42 per cent of the total population, while the slaves dwindled to less than 16 per cent.
<b>Narrator</b>	Superordinate	Durante o seguinte meio século <0010111> <i>essa população livre de cor</i> <0010310> aumentou <0010119> para 42% da população, enquanto que a população escrava ficou reduzida a menos de 16 por cento.
<b>Narrator</b>	Synonymy/ Hyponymy	Even allowing for the inaccuracies inherent in the Brazilian data (such as <0010141> Ø <0010340> classifying <0010144> <i>mixed-blood</i> children differently from their mothers), demographers have concluded that the black population reproduced at a slower rate after abolition than <0010111> <i>the mulatto</i> and the white <0010310> Ø.
<b>Narrator</b>	Synonymy/ Hyponymy	Mesmo considerando as inexatidões dos dados estatísticos brasileiros (como <0010141> Ø <0010340> classificar <0010144> crianças de <i>sangue misturado</i> em grupo diferente do de suas mães), os demógrafos concluíram que a população preta reproduziu-se num ritmo mais lento depois da Abolição do que <0010111> a branca e a <i>mulata</i> <0010310> Ø.
<b>Narrator</b>	Superordinate	The final fact is that <0010131> <i>the free colored</i> <0010330> played <0010132> an important role long before total abolition in Brazil 20.
<b>Narrator</b>	Superordinate	A conclusão é que <0010131> <i>os homens livres de cor</i> <0010330> tiveram <0010132> importante papel no Brasil muito antes da Abolição 20.
<b>Narrator</b>	Superordinate	<0010111> <i>Free coloreds</i> <0010310> had succeeded <0010119> in <0010310> gaining <0010112> a considerable occupational mobility - entry into skilled occupations and even occasionally prominent positions as artists, politicians, and writers - while slavery was still dominant throughout the country.
<b>Narrator</b>	Ellipsis	<0010111> Ø <0010310> Havia conseguido <0010119-0010310> atingir <0010112> considerável mobilidade ocupacional - admissão a ocupações especializadas e, até, ocasionalmente, a posições preeminentes como artistas, políticos e escritores - enquanto a escravidão era, ainda, dominante em todo o país.
<b>Narrator</b>	Superordinate	<0010122> These economic and social opportunities <0010320> enjoyed by <0010121> <i>free coloreds</i> furnish proof that the multi-racial pattern of racial categorization was well established before final abolition.
<b>Narrator</b>	Superordinate	<0010112> Tais oportunidades econômicas e sociais - <0010111> Ø <0010310> abertas <0010113> <i>aos homens livres de cordão</i> prova de que o padrão multirracial da categorização racial estava firmemente estabelecido muito antes de 1888.
<b>Narrator</b>	Superordinate	If Gilberto Freyre's portrait is to be believed - and there is much corroboration from other sources - we may assume that <0010111> white males <0010310> must have fathered <0010112> <i>many mixed bloods</i> , thereby increasing the proportion of lighter skinned offspring in the next generation.
<b>Narrator</b>	Repetition	Se aceitarmos as linhas do retrato de Gilberto Freire – e ele é corroborado por muitas outras fontes – cumpre assinalar que os machos brancos foram pais de <i>muitas crianças mestiças</i> , o quê, na certa, aumentou a proporção de rebentos de pele clara na geração subsequente.
<b>Narrator</b>	Hyponymy	<0010111> The ideal of whitening, as well as the traditionalistic social system, <0010310> helped to prevent <0010112-0010131> <i>dark-skinned men</i> from <0010330> being <0010132> such active progenitors because females, wherever possible, had powerful conditioning to choose lighter partners than themselves.

<b>Narrator</b>	Hyponymy	<0010111> O ideal de “branqueamento” – assim como o sistema social tradicionalista – <0010310> ajudou a influir entre <i>homens de pele escura</i> na sua escolha de cruzamento racial e de <0010330> ter <0010134-0010135> o mesmo ativo papel na reprodução. As fêmeas, por outro lado, movidas por uma forte inclinação na preferência, escolhiam sempre, quando isso era possível, parceiros mais claros do que elas.
<b>Narrator</b>	Example of Explicitation in the RT	Some joined street gangs, whose members (capoeiristas) practiced a form of physical assault based on kicking, and terrorized the cities.
<b>Narrator</b>		Alguns como se presumira, incorporaram-se a bandos de marginais urbanos cujos membros (capoeiristas) incrementavam uma forma peculiar de ataque e defesa, aterrorizando <0010112> as cidades <0010310> assaltadas por <0010111> aquelas multidões de cor sem eira nem beira, largadas à sorte numa nova realidade social.
<b>Narrator</b>	Hyponymy	In 1906 <0010141> an editorial <0010340> alleged <0010143> discrimination <0010144> against both blacks and <i>mulattoes</i> in the recruitment of the Guarda Cívica, or state militia, of São Paulo.
<b>Narrator</b>	Hyponymy	Em 1906, <0010141> um editorial <0010340> alegava <0010143> discriminação <0010144> tanto contra pretos como contra <i>mulatos</i> , no recrutamento da Guarda Cívica, ou milícia estadual, de São Paulo.
<b>Narrator</b>	Superordinate/ Hyponymy	Also unlike the United States, instead of two castes (white and <i>non-white</i> ), <0010360> there was <0010161> a third social caste well recognized in Brazil – <i>the mulatto</i> .
<b>Narrator</b>	Superordinate/ Hyponymy	E também ao contrário dos Estados Unidos, em vez de duas castas (branca e <i>não-branca</i> ), <0010360> havia no Brasil <0010161> uma terceira casta social bem reconhecida - <i>o mulato</i> .
<b>Narrator</b>	Superordinate	<0010111> <i>The free man of color</i> in Brazil <0010310> was already establishing <0010112> a clear place in society during the late eighteenth century, while their counterparts in the United States were facing the systematically discriminatory system (laws in the South, customs in the North) that effectively prevented their entering the established economic or social order 41.
<b>Narrator</b>	Superordinate	Ao fim do séc XVIII, <0010131> <i>o homem livre de cor</i> no Brasil <0010330> tinha, já, <0010132> lugar definido na sociedade enquanto seu semelhante nos Estados Unidos enfrentava regime tão sistematicamente discriminatório (leis, no Sul; costumes, no Norte) que o impedia de penetrar na ordem estabelecida, quer econômica quer social 41.
<b>Narrator</b>	Superordinate	As a result, there was no tradition in Brazil <0010111> Ø <0010310> of suppressing <0010112> <i>nonwhites</i> <0010119> within a rigidly bi-racial caste system, and racist thought could not therefore be used to buttress such a system.
<b>Narrator</b>	Superordinate	Como resultado, não havia tradição no Brasil de supressão de não-brancos dentro de um rígido sistema birracial, e o pensamento racista não podia, em consequência, ser usado para reforçar tal sistema.
<b>Narrator</b>	Hyponymy	But they could draw comfort from the fact that <0010112> <i>the mulatto offspring</i> <0010310> were rigidly relegated <0010119> to the "Negro" caste <0010111> Ø.
<b>Narrator</b>	Hyponymy	Podiam, porém, consolar-se com o fato de que <0010112> <i>os filhos de mulatos</i> <0010310> eram rigidamente relegados <0010119> à casta "negra" <0010111> Ø.

<b>Narrator</b>	Synonymy	<0010122> <i>These mixed bloods</i> <0010320> were then regarded as <0010129> lost <0010121> to the superior race - a process which, if miscegenation were practiced on any large scale, could mean a serious threat to the numerical dominance of the "superior" race.
<b>Narrator</b>	Repetition	<0010122> <i>Os mestiços</i> <0010320> eram olhados <0010129> como perdidos <0010121> para a raça superior - um processo que, se a miscigenação fosse praticada em larga escala, poderia vir a ameaçar seriamente a predominância numérica da raça "superior".
<b>Narrator</b>	Hyponymy	At their most extreme, polygenists had argued that <0010131> <i>mulattoes</i> <0010330> must be <0010132> sterile, since the laws of zoology taught that any animal produced by the union of parents of different species would be unable to bear offspring 43.
<b>Narrator</b>	Hyponymy	Quando muito extremados, os poligenistas defendiam <i>a tese da esterilidade dos mulatos</i> , uma vez que as leis da zoologia ensinavam que todo animal produzido por união de pais de espécies diferentes nascia incapaz de procriar 43.
<b>Narrator</b>	Synonymy	Yet <0010131> <i>human "mixed bloods"</i> <0010330> were obviously not <0010132> infertile.
<b>Narrator</b>	Repetition	E, no entanto, era óbvio que <0010131> <i>os mestiços humanos</i> <0010330> não eram <0010132> estéreis.
<b>Narrator</b>	Superordinate	Their society was already multi-racial, and <0010133-0010135> <i>the middle caste</i> <0010330> was precisely <0010134-0010136> the social category for whom the flexibility of Brazilian racial attitudes was most important.
<b>Narrator</b>	Superordinate	Sua sociedade já era multirracial, e <0010133-0010135> <i>a casta intermediária</i> <0010330> era precisamente <0010134-0010136> a categoria social para a qual a flexibilidade das atitudes raciais importava, sobretudo.
<b>Narrator</b>	Synonymy/ Hyponymy	On the contrary, it was a well-recognized (and tacitly condoned) process by which <0010111> <i>a few mixed bloods</i> (almost invariably <i>light mulattoes</i> ) <0010310t1> had risen <0010119> to the top of the social and political hierarchy.
<b>Narrator</b>	Repetition/ Hyponymy	Pelo contrário, era o processo reconhecido (e tacitamente aprovado) pelo qual <0010111> <i>uns poucos mestiços</i> (quase invariavelmente <i>mulatos claros</i> ) <0010310t1> tinham ascendido <0010119> ao topo da hierarquia social e política.
<b>Narrator</b>	Hyponymy	In the early 1890's <0010111> <i>Nina Rodrigues, a young mulatto doctor</i> , <0010310> won <0010119> a chair there.
<b>Narrator</b>	Hyponymy	No começo da década de 90, <0010111> <i>Nina Rodrigues, jovem doutor mulato</i> , <0010310> conquistara <0010112> uma cátedra ali.
<b>Narrator</b>	Synonymy	<0010111> <i>Mixed bloods</i> , not surprisingly, <0010310> presented <0010112> him <0010119> with a problem.
<b>Narrator</b>	Repetition	<0010131> <i>Os mestiços</i> <0010330> eram para ele, evidentemente, <0010132> um problema.
<b>Narrator</b>	Synonymy	Rodrigues did not go as far as Agassiz <0010141> Ø <0010340> in condemning <0010144> <i>the mixed blood</i> , but he flatly contradicted the commonly held view that miscegenation had helped the white race to adapt and survive in tropical northern Brazil.
<b>Narrator</b>	Repetition	Nina Rodrigues não foi tão longe quanto Agassiz na <i>condenação dos mestiços</i> ; mas contradisse frontalmente a opinião geral de que a miscigenação havia ajudado a raça branca a adaptar-se e a sobreviver no Norte tropical do Brasil.

<b>Agassiz</b>	Repetition	One was the "strong barrier to the white" posed by the tropical climate; the other was the "vast degree of miscegenation which, <0010111> Ø <0010310> by delivering <0010112> the country <0010113> to <i>the mestiços</i> , deprived it for a long period of the supreme direction of the white race.
<b>Agassiz</b>	Repetition	Um era a forte barreira oposta ao branco pelo clima tropical; outro, "as vastas proporções da mestiçagem que, <0010111> Ø <0010310> entregando <0010112> o país <0010113> aos <i>mestiços</i> , acabará, por outro lado, privando-o, por longo prazo, pelo menos, da liderança marcante da raça branca.
<b>Narrator</b>	Superordinate	After all this, Soares turns out to be endorsing the usual "whitening" ideal for Brazil, ie, <0010112> <i>the man of color</i> <0010310> can be elevated <0010111> Ø - but only by a great investment of effort.
<b>Narrator</b>	Superordinate	Depois de tudo isso, Hermann Soares revela-se partidário do ideal comum do "branqueamento" para o Brasil, isto é, <0010112> <i>o homem de cor</i> <0010310> pode ser elevado <0010111> Ø - mas só por um maior investimento de esforço.
<b>João Batista de Lacerda</b>	Synonymy	<0010141> He <0010340> pronounced <0010144> <i>mixed bloods</i> <0010145> as "obviously inferior to the blacks" as "agricultural laborers" and as having "little power to resist disease"; where their superiority lay, in his opinion, was that they were "physically and intellectually well above the level of the blacks.
<b>João Batista de Lacerda</b>	Repetition	<0010141> Ø <0010340> Declarou <0010144> <i>os mestiços</i> <0010145> "obviamente inferiores aos negros" como "mão-de-obra agrícola", tendo "pouca resistência às moléstias"; sua superioridade consistia, na sua opinião, em estarem "física e intelectualmente muito acima do nível dos pretos".
<b>João Batista de Lacerda</b>	Hyponymy	Their influence, he said, had even increased as the "new regime [ie, the Republic proclaimed in 1889] opened the door to all talent," thus <0010141> Ø <0010340> enabling <0010142-0010111> "many able <i>mulattoes</i> " <0010310> to enter <0010119> "the highest political offices" and the "highest branches of the administration.
<b>João Batista de Lacerda</b>	Hyponymy	A influência deles - diz -, cresceu, mesmo, quando "o novo regime (isto é, a República) abriu as portas a todos os talentos", <0010141> Ø <0010340> permitindo, assim, <0010142> a " <i>numerosos mulatos capazes</i> " <0010143> o acesso "aos mais altos cargos políticos" e aos "mais altos ramos da administração".
<b>Narrator</b>	Repetition (Individualisation – proper name)	He noted that the Haitian representative, "a dark Negro and an educated man," had praised his paper, as <cohesive resource> <0010340> had Ø <0010141> <i>W. E. B. DuBois, a mestiço</i> .
<b>Narrator</b>	Repetition (Individualisation – proper name)	Observou que o representante do Haiti, "negro escuro e homem educado" havia elogiado seu relatório, <cohesive resource> o mesmo <0010340> fazendo <0010141> <i>W. E. B. DuBois, um mestiço</i> .
<b>Narrator</b>	Repetition	During the intervening century the white population would supposedly rise to 80 per cent, while the Negro fell to zero, <0010111> <i>the mestiço</i> Ø <0010310> Ø <0010119> to 3 per cent (from an estimated 28 per cent in 1912), and the Indian rose to 17 per cent (from an estimated 13 per cent in 1912) 73.
<b>Narrator</b>	Repetition	Durante o século intermediário, a população branca subiria a 80% enquanto a negra cairia para zero e <0010111> <i>a Ø mestiça</i> <0010310> Ø <0010119> para 3 % (de uma estimativa de 28%, em 1912). A população índia subiria a 17 % (de um total estimado de 13%, em 1912) 73.

<b>Narrator (about João Batista de Lacerda)</b>	Hyponymy	Commenting on the uproar provoked in the Brazilian press by a Belgian's report that <0010121> she <0010320> had seen <0010122> Negroes and <i>mulattoes</i> even in the larger cities in Brazil, he noted sarcastically, "Suddenly the country has aryanized itself."
<b>Narrator</b>	Hyponymy	Comentando a grita provocada na imprensa brasileira - pela afirmação de um belga de que <0010121> Ø <0010320> vira <0010122> negros e <i>mulatos</i> mesmo nas grandes cidades do Brasil -, observou sarcasticamente: "A nação arianizou-se de repente".
<b>Narrator</b>	Synonymy	Furthermore, <0010121> he <0010320> had decided <0010122-0010111> <i>the mixed bloods</i> <0010310> would never disappear.
<b>Narrator</b>	Repetition	Ademais, <0010141> Ø <0010340> chegara à conclusão de que <0010143-0010111> <i>os mestiços</i> <0010310> jamais desapareceriam.
<b>Narrator</b>	Hyponymy	<0010132> No slave society in the Americas <0010330> failed to produce <0010134> <i>a large mulatto population</i> .
<b>Narrator</b>	Hyponymy	<0010132> Nenhuma sociedade escravista nas Américas <0010330> deixou de produzir <0010134> <i>uma vasta população mulata</i> .
<b>Narrator</b>	Synonymy	In discussing the United States, Lacerda confused the system of legal and social segregation with supposed racial purity – actually <0010141> Ø <0010340> referring to <0010144> <i>mixed bloods</i> <0010143> as a "race".
<b>Narrator</b>	Repetition	Discutindo os Estados Unidos, João Batista de Lacerda confundiu o sistema de segregação legal e social com a suposta pureza racial - <0010340> referindo-se, mesmo, <0010144> <i>aos mestiços</i> <0010143> como "raça".
<b>Narrator</b>	Synonymy	In fact, <0010111> white American society <0010310> had simply pushed <0010112> <i>its mixed bloods</i> <0010119> back down into the "Negro" category.
<b>Narrator</b>	Repetition	Na verdade, <0010111> a sociedade branca norte-americana <0010310> tinha simplesmente empurrado <0010112> <i>seus mestiços</i> <0010119> para a categoria inferior de "negros".
<b>José Veríssimo</b>	Hyponymy	Here <0010121> <i>the mulatto</i> , beginning with the second generation, <0010320> wants <0010122> to be white and the white man, harboring no illusions and with some insignificant exceptions, welcomes, esteems, and joins with him.
<b>José Veríssimo</b>	Hyponymy	Aqui <0010121> <i>o mulato</i> , a começar da segunda geração, <0010320> quer <0010122> ser branco, e o homem branco (com raras exceções) (...) acolhe-o, estima-o e aceita-o no seu meio.
<b>Clayton Cooper</b>	Superordinate	It is claimed that one factor in this process is the natural selection of <0010121> the female species <0010320> to choose <0010122> <i>a mate lighter in color</i> than herself.
<b>Clayton Cooper</b>	Superordinate	Pretende-se que um dos fatores nesse processo é a seleção natural pela fêmea de <i>um parceiro de cor mais clara do que a sua</i> .
<b>Narrator</b>	Synonymy/ Hyponymy	Furthermore, the whitening ideology squared with one of the most obvious facts of Brazilian social history - <0010141> Ø <0010144> the existence of a large "middle caste," generally <0010340> called <0010143> "mulatto".
<b>Narrator</b>	Synonymy/ Hyponymy	Além disso, a ideologia do "branqueamento" enquadrava-se com um dos fatos mais óbvios da história social brasileira – <0010141> Ø <0010144> a existência de uma vasta "casta média" geralmente <0010340> chamada <0010143> "mulata".
<b>Narrator</b>	Hyponymy	Within this category there were enormous variations, ranging from socially prestigious figures <0010141> Ø <0010144> who <0010340> could be described only <0010143> as "mulatto" in the most intimate circles, to underworld criminals who would have fitted Nina Rodrigues' suggested penal category of "degenerates".

Chapter 3	Type of cohesive relation (mestiço)	Politics, Literature, and the Brazilian Sense of Nationality before 1910/ Política, Literatura e o Sentimento Brasileiro de Nacionalidade antes de 1910
Voice		Occurrences
Narrator	Hyponymy	This led him [Euclides da Cunha] to praise the mixture of Indian and white, and <0010141> Ø <0010340> to denigrate <0010144> <i>the mulatto</i> .
Narrator	Hyponymy	Isso o [Euclides da Cunha] levou a louvar a mistura do branco com o Índio, e <0010121> Ø <0010320> a considerar <0010122> <i>o mulato</i> <0010129> degenerado.
Euclides da Cunha	Repetition/Hyponymy	The Indo-European, the Negro, and the Brazilian Guarany or the Tapuia represent evolutionary stages in confrontation; and miscegenation, in addition to obliterating the pre-eminent qualities of the higher race, serves to stimulate the revival of the primitive attributes of the lower; so that <0010131> the mestizo [mestiço] - a hyphen between the races, a brief individual existence into which are compressed age-old forces - <0010330> is <0010132> almost always an unbalanced type. <0010131> <i>The mestizo [mestiço] - mulatto, mameluco, or cafuso</i> - rather than an intermediary type, <0010330> is <0010132> a degenerate one, lacking the physical energy of his savage ancestors and without the intellectual elevation of his ancestors on the other side.
Euclides da Cunha	Repetition/Hyponymy	De sorte que <0010131> o mestiço - traço-de-união entre as raças, breve existência individual, em que se comprimem esforços seculares, - <0010330> é, quase sempre, <0010132> um desequilibrado. <0010131> E o mestiço - <i>mulato, mamaluco ou cafuz</i> - menos que um intermediário, <0010330> é <0010132> um decaído, sem a energia física dos ascendentes selvagens, sem a altitude intelectual dos ascendentes superiores.
Narrator	Synonymy	Finally, <0010121> the elite found it easiest <0010320> to visualize <0010122> the native-born Brazilian, especially <i>the mixed blood</i> , in the terms of literary Romanticism, <0010123> as an uncertain man, lost in the vastness of an overwhelming nature.
Narrator	Repetition	Finalmente, a elite achava mais fácil <0010121> Ø <0010320> visualizar <0010122> o brasileiro nato, especialmente <i>mestiço</i> , em termos de romantismo literário, <0010123> como um homem indeterminado, perdido na vastidão da natureza todo-poderosa.
Narrator	Synonymy	He [Tobias Barreto] also cited other scientists (Waitz, Martin de Moussy, and Quatrefages) as authorities for the view that <0010131> <i>mixed bloods</i> <0010330> were <0010132> no less intelligent than the separate races that produced them.
Narrator	Synonymy	Citava também outros cientistas (Waitz, Martin de Moussy e Quatrefages) em apoio da sua tese de que <0010131> <i>os mestiços</i> <0010330> não são <0010132> menos inteligentes que os membros das raças individuais que os produziram.



Chapter 4	Type of cohesive relation	The National Image and the Search for Immigrants/ A Imagem Nacional e a Procura de Imigrantes
Voice	(mestiço)	Occurrences
Domingos Jaguaribe	Superordinate	Then he continued: "Fortunately there is no race prejudice in Brazil and <0010121> one <0010320> sees <0010122-0010111> <i>colored men</i> <0010310> marrying <0010112> white women and vice versa, with the result that the black population is declining extraordinarily.
Domingos Jaguaribe	Superordinate	E continuava: "Felizmente não há preconceito racial no Brasil. <0010121> Ø <0010320> Vêm-se <0010122-0010111> <i>homens de cor</i> <0010310> casando <0010119> com mulheres brancas e vice-versa, de maneira que a população negra tende a diminuir extraordinariamente.
Narrator	Hyponymy/ Substitution	In any case, it stood as a law of the land, countersigned by the President and his Minister of Agriculture, Francisco Glicério, <0010131> who <0010330> was, ironically enough, <0010132> <i>a mulatto</i> *.
Narrator	Hyponymy	De qualquer maneira, tinha força de lei, assinado que era pelo presidente da República e contra-assinado pelo seu ministro da Agricultura, Francisco Glicério, por ironia, <i>um mulato</i> *.
Narrator	Superordinate	The United States attracted immigrants primarily to the North, where <0010131> <i>the non-white population</i> <0010330> was still <0010132> minimal.
Narrator	Superordinate	Os Estados Unidos atraíam imigrantes principalmente para o Norte, onde <0010131> <i>a população não-branca</i> <0010330> era ainda <0010132> diminuta.

Chapter 5	Type of cohesive relation	The New Nationalism/ O Novo Nacionalismo
Voice	(mestiço)	Occurrences
Amado	Hyponymy	The following year Amado ridiculed the Brazilian elite's obsession with proving their "Latinness" and suggested: "Let's just resign ourselves to <0010131> Ø <0010330> being <0010132> <i>cafusos</i> [mixture of black and Indian] or <i>curibocas</i> [mixture of white and Indian], trying to honor our blood by the dignity of our style of men, instead of boasting about heredity we haven't got 70".
Amado	Hyponymy	No ano seguinte, ridiculizaria a obsessão da elite com sua "latinidade". Sugeriria: "<0010131> Ø <0010330> Sejamos <0010132> <i>cafuzos ou curibocas</i> resignados, procurando honrar o nosso sangue pela dignidade do nosso estilo de homens e não pelo blasonar de hereditariedades que não são nossas"
Narrator about Basílio de Magalhães	Repetition	The conclusions he drew from history, however, showed him to be well on the way toward a new rationale for Brazil's racial past: (1) the Latin peoples, far from having proved weak, had made a healthy contribution to Brazil's growth; (2) <0010111> <i>the Brazilian mestiço</i> <0010310> had also contributed mightily <0010111> Ø <0010310> by settling and <0010111> Ø <0010310> unifying <0010112> the country; and (3) the war had revealed Europe to be aged, thereby leaving greater opportunities to the young countries such as Brazil.
Narrator	Repetition	Ademais, as conclusões que tirava da História mostravam-lhe estar bem adiantado no caminho de uma nova interpretação do passado racial do Brasil: 1 os povos latinos, longe de se terem mostrado fracos, haviam feito saudável contribuição ao crescimento do Brasil; 2 <0010111> <i>o mestiço brasileiro</i> <0010310> tinha também contribuído enormemente para <0010112> o desbravamento e a unificação do país; e 3 a guerra tinha revelado que a Europa envelhecera, o que dava maiores oportunidades aos países jovens como o Brasil.

Chapter 6	Type of cohesive relation (mestiço)	The Whitening Deal after Scientific Racism/ O Ideal de “Branqueamento” depois do Racismo Científico
<b>Voice</b>		<b>Occurrences</b>
<b>Narrator</b>	Hyponymy	Lobato charged that <0010111> a new school of writers (unspecified) <0010310> was dressing up <0010112> <i>the caboclo</i> in the old Indianist virtues of fierce pride, loyalty, courage, and heroic virility, whereas in fact he "exists merely to hunker; he is incapable of evolution and is immune to progress".
<b>Narrator</b>	Hyponymy	<0010141> Lobato <0010340> acusava <0010142> uma nova escola de escritores (não identificada) <0010143-0010310> de enfeitar <0010112> <i>o caboclo</i> com as velhas virtudes Índias de orgulho altaneiro, lealdade, bravura e virilidade heróica, quando, na verdade, "existe a vegetar a cócoras, incapaz de evolução, impenetrável ao progresso".
<b>Narrator</b>	Hyponymy	<0010141> Lobato <0010340> pictured <0010143> <i>the lethargic, superstitious, ignorant caboclo</i> who thought it not worthwhile ("Não paga a pena") to build a decent house, cultivate his manioc, or store his harvest.
<b>Narrator</b>	Hyponymy	<0010141> Monteiro Lobato <0010340> pintava <0010144> <i>o caboclo</i> <0010143> ignorante, letárgico, supersticioso que julgava inútil ("Não paga a pena") erguer uma casa decente, plantar alguma, ou armazenar a pobre colheita.
<b>Narrator</b>	Hyponymy	In the midst of the luxurious excesses of nature (Lobato's lyric description was ironical) <0010131> <i>the caboclo</i> <0010330> was <0010132> a "dark fungus on a rotten tree dozing silently in a valley alcove - the only one not to talk, not to sing, not to laugh, not to love.
<b>Narrator</b>	Hyponymy	No meio dos desmandos luxuriantes da natureza (a lírica descrição de Monteiro Lobato era cheia de ironia) <0010131> <i>o caboclo</i> <0010330> não passava de <0010132> um "sombrio urupê de pau pobre, a modorrar silencioso no recesso das grotas. Só ele não fala, não ri, não ama. Só ele, no meio de tanta vida, não vive".
<b>Narrator on Euclides</b>	Hyponymy	Although he never ceased to admire Euclides' courage as a pioneer amateur ethnographer who transformed his science into a literary work of universal appeal, by 1914 he had progressed far enough from Euclides' position to argue that, although much of the black population had been abandoned to "the kind of total ignorance which in the modern world makes man into a helpless biped," thus accelerating their disappearance, <sup>45</sup> blacks (<0010112> <i>mulattoes</i> <0010310> were evidently excluded from this discussion) had, with proper education, shown themselves capable of great progress in the United States.
<b>Narrator</b>	Hyponymy	Isso lhe acelerava a desapareição <sup>45</sup> . Nos Estados Unidos, porém, os pretos (evidentemente <0010131> <i>os mulatos</i> <0010330> estavam <0010132> fora da discussão) se tinham mostrado, depois de educação apropriada, capazes de grande progresso.
<b>Roquete-Pinto</b>	Repetition	<0010111> Our national problem <0010310> is not transforming <0010112> <i>mestiços</i> <0010119> into whites. Our problem is the education of those who are here, whether light or dark” <sup>47</sup> . That injunction became his principal message.
<b>Roquete-Pinto</b>	Repetition	" <0010111> O problema nacional não é <0010310> transformar <0010112> <i>os mestiços do Brasil</i> <0010119> em gente branca. O (...) problema é a educação dos que aí se acham, claros ou escuros <sup>47</sup> .
<b>Narrator</b>	Hyponymy	In furnishing his detailed picture of this intensely patriarchal ethos, Freyre dwelt on the manifold ways in which <0010111> the African and <i>mulatto</i> <0010310> deeply influenced <0010112> the life style of the planter class, in food, clothing, and sex.
<b>Narrator</b>	Hyponymy	Ao pintar seu minucioso, retrato desse ethos intensamente patriarcal, Gilberto Freire tratou das inúmeras maneiras pelas

		quais tanto <0010111> o negro quanto <i>o mulato</i> <0010310> influenciaram profundamente <0010112> o estilo de vida da classe dos fazendeiros, em matéria de comida, indumentária e sexo.
<b>Narrator</b>	Repetition	Eurico Valle, who opposed the bill, noted that <0010131> <i>the mestiço</i> <0010330> is <0010132> "an intermediary type who will perforce have to disappear".
<b>Narrator</b>	Repetition	Opondo-se à lei, Eurico Vale, observou que "<0010131> <i>o mestiço</i> <0010330> é <0010132> um tipo intermediário que tem de desaparecer, por força".
<b>Napoleão Gomes</b>	Repetition - Hyponymy	Even the defenders of the native-born worker (Napoleão Gomes: "I can guarantee you that <0010133-0010135> <i>the mestiço from the backlands [sertanejo]</i> <0010330> is <0010134-0010136> the most energetic type in Brazil") never contested the assumptions of the whitening ideal.
<b>Napoleão Gomes</b>	Repetition	Mesmo os defensores do trabalhador braçal nativo (Napoleão Gomes: "O que garanto é que <0010133-0010135> <i>o mestiço sertanejo</i> <0010330> é <0010134-0010136> o tipo de maior energia do Brasil") jamais contestaram as premissas do ideal de branqueamento.
<b>Narrator on Reis</b>	Repetition	<0010121> He <0010320> saw <0010122> <i>the mestiço</i> <0010129> as an unreliable instrument for racial improvement and quoted Euclides da Cunha's famous passage on the instability of mixed bloods as proof.
<b>Narrator on Reis</b>	Repetition	<0010121> Ø <0010320> Não via <0010129> <i>no mestiço</i> <0010122> um instrumento de confiança para a melhoria racial e citava como prova a famosa passagem de Euclides da Cunha sobre a instabilidade dos produtos de miscigenação.
<b>Bevilaqua</b>	Superordinate	Even more relevant was Bevilaqua's observation that "as Oliveira Lima has noted, there is no danger that <0010111> <i>colored immigrants</i> <0010310> will come <0010119> in numbers great enough to make them difficult to assimilate or to upset the normal development of our ethnic type".
<b>Bevilaqua</b>	Superordinate	Ainda mais relevante era a observação do próprio Clóvis: "Como observa Oliveira Lima, não é de recear que <0010310> venham <0010111> <i>esses imigrantes de cor</i> <0010119> em massa tão grande que dificilmente possam ser assimilados ou que perturbem a evolução normal do nosso tipo étnico".
<b>Narrator</b>	Superordinate	Azevedo Amaral, a prominent newspaper editor and strong advocate of the now increasingly anachronistic scientific racist position, presented a ten-point program which included <0010111> a proposal <0010310> to bar <0010112> <i>all non-white immigrants</i> .
<b>Narrator</b>	Superordinate	Azevedo Amaral, conhecido editor de jornais e importante advogado da posição racista, cada dia mais anacrônica, apresentou um programa em dez pontos que incluía <0010111> uma proposta <0010310> para barrar <0010112> <i>toda e qualquer imigração não-branca</i> .
<b>Narrator about O. Viana</b>	Hyponymy	Born in the state of Rio de Janeiro, <0010144> he <0010340> was described <0010141> by contemporaries <0010143> as <i>mulatto</i> , which may in part explain his interest in the ethnic question.
<b>Narrator</b>	Hyponymy	Nascido no Estado do Rio de Janeiro, <0010144> Ø <0010340> é descrito <0010141> pelos contemporâneos <0010143> como <i>mulato</i> , o que explica seu particular interesse pela questão étnica.
<b>Narrator</b>	Superordinate	Vianna's citing of these figures was all the more interesting in view of the fact that the 1920 census (for which his analysis was an introductory chapter) did not include any breakdown by race – an omission officially justified on the grounds that "the responses [on racial categories] largely hide the truth," although it may also resulted from a desire (obviously shared by Vianna) to gloss over the degree to which <0010131> Brazil <0010330> was still <0010132> <i>non-white</i> 82.

<b>Narrator</b>		A citação desses algarismos por Oliveira Viana é ainda mais interessante em vista do fato de que o censo de 1920 não incluía um desdobramento por raça. A omissão era justificada oficialmente com a observação de que as respostas aos quesitos sobre o assunto nem sempre refletiam a verdade. Mas talvez resultasse do desejo (obviamente partilhado por Oliveira Viana) de disfarçar até que grau <0010131> o Brasil <0010330> ainda não era <0010132> branco 82.
<b>Oliveira Viana</b>	Synonymy/ Repetition	"This admirable flow of immigration not only helps to raise quickly the coefficient of the pure Aryan group in our country but also by <0010111> Ø <0010310> mixing and <0010310> re-mixing <0010119> with <i>the mixed-blood (mestiço) population</i> it helps with equal speed, to raise the Aryan content of our blood" 83.
<b>Oliveira Viana</b>	Repetition	"Esse admirável movimento imigratório não concorre apenas para aumentar rapidamente, em nosso país, o coeficiente da massa ariana pura: mas também, <0010111> Ø <0010310> cruzando-se e <0010310> recruzando-se <0010119> <i>com a população mestiça</i> , contribui para elevar, com igual rapidez, o teor ariano do nosso sangue 83.
<b>Narrator</b>	Hyponymy (individualization)	<0010112> Scientific evidence against theories of inherent racial differences <0010310> was offered also <0010111> by <i>Juliano Moreira, a mulatto psychiatrist</i> <0010131> who <0010330> was <0010132> an important figure in establishing psychiatry as a field in Brazil.
<b>Narrator</b>	Hyponymy (individualization)	<0010112> As provas científicas contra as teorias das diferenças raciais inatas <0010310> eram dadas <0010111> por <i>Juliano Moreira, o psiquiatra mulato</i> <0010131> que <0010330> fora <0010132> figura tão importante no estabelecimento de psiquiatria no Brasil.

<b>Epilogue</b>	<b>Type of cohesive relation (mestiço)</b>	<b>Whitening – an Anachronistic Racial Ideal/ Branqueamento: um Ideal Anacrônico</b>
<b>Voice</b>		<b>Occurrences</b>
<b>Narrator</b>	Hyponymy	<0010131-0010111> <i>Any mulatto not light enough</i> <0010310> to "pass" <0010330> had always been <0010132> subject to the same legal disabilities and physical danger as his darkest brother.
<b>Narrator</b>	Hyponymy	<0010131-0010111> <i>Qualquer mulato que não fosse bastante claro</i> <0010310> <0010310> para "passar" <0010330> ficara, sempre, <0010132> sujeito às mesmas desvantagens e aos mesmos riscos físicos que o seu irmão mais escuro.
<b>Narrator</b>	Superordinate	The United States has remained a bi-racial society but has moved from legally barring non-white participation in the power structure <0010111> Ø <0010310> to forcing <0010112-0010111> <i>non-white</i> <0010310> entry into that structure, even if only in token numbers.
<b>Narrator</b>	Superordinate	Para elas os Estados Unidos permanecem uma sociedade birracial, que apenas passou da proibição legal da participação de não-brancos na estrutura do poder à política de <0010141> Ø <0010340> obrigar <0010144-0010111> os não-brancos <0010310> a entrar nessa estrutura, pelo menos em números simbólicos.
<b>Narrator</b>	Superordinate	Whereas <0010131> Ø <0010330> being <0010132> <i>non-white</i> previously subjected a North American to legal disabilities, now it has become grounds for gaining government aid in securing employment, housing, and educational advancement *.
<b>Narrator</b>	Ellipsis	Enquanto, no passado, o fato de <0010131> Ø <0010330> não ser <0010132> branco expunha um norte-americano a incapacidades jurídicas, isso é agora ocasião de obter auxílio oficial para conseguir emprego, casa e progresso educacional *.

<b>Narrator</b>	Superordinate	No special provisions have been made or even considered <0010111> Ø <0010310> for giving <0010113> <i>non-whites</i> <0010112> the benefit of "affirmative action" programs that would require employers to prove that they have honestly tried <0010111> Ø <0010310> to locate and <0010121> Ø <0010320> consider <0010122> <i>non-white applicants for jobs</i> .
<b>Narrator</b>	Superordinate	Não foram tomadas, ou sequer consideradas, provisões específicas <0010111> Ø <0010310> para dar <0010113> <i>aos não-brancos</i> <0010112> o benefício de programas de "ação positiva" que exijam dos empregadores prova de haverem tentado <0010111> Ø <0010310> encontrar e <0010111> Ø <0010310> aproveitar <0010112> <i>candidatos de cor</i> .
<b>Narrator</b>	Superordinate	African black nationalism has been paralleled by powerful nationalist movements (seldom couched in racial terms) in Southeast Asia, where <0010111> <i>non-white rebels</i> <0010310> have overthrown <0010112> European rule in virtually every country.
<b>Narrator</b>	Superordinate	O nacionalismo negro africano tem visto emulado por outros poderosos movimentos nacionalistas (raras vezes formulados em termos raciais) no Sudeste da Ásia, onde <0010111> <i>rebeldes não-brancos</i> <0010310> puseram abaixo <0010112> a estrutura européia do poder, numa ação descolonizadora.
<b>Narrator</b>	Superordinate	Now that Europe and North America had politically (as well as scientifically) repudiated racism, and now that <0010111> <i>non-whiteness</i> <0010310> had become <0010112> a source of cultural pride and political power both in Afro-Asia and the United States, Brazilians were left with a badly outdated ideal of their racial future.
<b>Narrator</b>	Superordinate	Agora que a Europa e os Estados Unidos tinham repudiado politicamente o racismo (e cientificamente também); agora que <0010111> <i>a não-branquitude</i> <0010310> se tornara <0010112> fonte de orgulho cultural e de poder político, tanto na Ásia-África quanto nos Estados Unidos, os brasileiros estavam sozinhos, com o ideal tristemente demodé do seu futuro étnico.
<b>Narrator</b>	Superordinate	Although comprehensive data were lacking, and although some important regional variations existed, and although researchers' opinions varied on how <0010111> <i>color</i> <0010310> might affect <0010112> future social mobility, it seemed clear that the darker a Brazilian the more likely he was to be found at the bottom of the socio-economic scale by every indicator - income, occupation, education.
<b>Narrator</b>	Superordinate	Embora lhes faltassem dados, embora algumas variações regionais existissem, e embora as suas conclusões divergissem quanto <i>ao impacto da cor</i> sobre a mobilidade social ficou patente que quanto mais escuro fosse o brasileiro mais provável seria encontrá-lo no fundo da escala sócio-econômica - e nisso coincidiam os diversos indicadores - renda, ocupação, educação.
<b>Narrator</b>	Superordinate	By believing that <0010131> <i>color</i> <0010330> had been <0010132> no barrier to social and economic mobility, Fernandes argued, the elite was able to avoid even considering the possibility that the socio-economic condition of the <i>non-white</i> could be due to anything other than the society's relative underdevelopment or the lack of individual initiative 114.
<b>Narrator</b>	Superordinate	Acreditando que <0010131> <i>a cor</i> <0010330> não tem sido <0010132> barreira à mobilidade social e econômica - afirmou Florestan Fernandes - e a elite furtou-se a admitir que a condição sócio-econômica dos não-brancos pudesse ser causada apenas pelo relativo subdesenvolvimento da sociedade ou pela falta de iniciativa individual 114.
<b>Narrator</b>	Superordinate	However true that may be, the result is that researchers (and therefore the public and politicians) have been deprived of nationwide figures on how <0010111> <i>non-whites</i> <0010310> have fared in health, education, income, and jobs.

<b>Narrator</b>	Superordinate	Não obstante, os pesquisadores que se valem dos resultados do censo de 1970 (e, em consequência, o público e os líderes do país) ficam privados de estatísticas atualizadas que mostrem como <0010111> <i>a porção não-branca da população</i> <0010310> se tem arranjado em matéria de educação, renda, habitação e emprego.
<b>Narrator</b>	Superordinate	In effect, those who control the federal government have declared that <0010131> <i>color</i> <0010330> is not <0010132> a meaningful category in Brazil, at least for statistical purposes.
<b>Narrator</b>	Superordinate	Na realidade, o governo federal decidiu que <0010131> a cor <0010330> não era <0010132> tão importante que justificasse maiores esforços no sentido da coleta de dados mais exatos, pelo menos no recenseamento de 1970.
<b>Narrator</b>	Superordinate	The degree to which <0010111> <i>non-whites</i> , as a whole, <0010310> have succeeded in gaining <0010112> improved conditions in education, housing, income, jobs is another matter.
<b>Narrator</b>	Superordinate	O grau em que <0010111> <i>os não-brancos</i> , como um todo, <0010310> conseguiram obter melhores condições de educação, habitação, renda, empregos - é outra coisa.