ALFA
Revista de Linguística

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PRESENTATION

The third and final issue of Alfa in 2016 brings a number of representative works of the innovative and questioning research that has marked the best of recent developments in Linguistics, in Brazil.

The first article, Mulico and Tilio's, historicizes the course of formation and transformation of an area of research both consolidated and expanding in language studies - Applied Linguistics. They recover the initial approaches - with theoretical and experimental concerns, and interest in teaching / learning languages, and then highlight the emergence of what is called today Contemporary Applied Linguistics. Featuring this theoretical proposal as critical, transgressive and indisciplinable, hybrid and transient, the authors argue that it can be designed as a Complex Adaptive System, a concept affiliated to the Complexity Theory.

Angelo and Menegassi, still under the "spirit" of Applied Linguistics, elaborate a reflection based on an empirical study on the theme of written production in the teaching practice. Their study includes participant observation and collaborative interventions with a teacher in a specific context - the production of textual genre *response* at the Supporting Room for Portuguese Learning (SAALP). The analysis indicates the need for monitoring and guidance of professionals, in an effective process of continuing education. The study reinforces the perception of how necessary it is to build a bridge between the knowledge produced in academia and the teaching practice. It shows that, if the task is urgent, it is also feasible.

Our third article - Butturi Junior's - also focuses on writing, but thinking about the notion of authorship and the creation process, taking the perspective of the place and role of the subject: the limits of (un) subjectivity in writing. The objective is to analyze these issues from Foucault's perspective, or more precisely, to verify to what extent and how they can be analyzed from that perspective.

Writing is still the place of reflection in the fourth article of this issue, where Calil analyzes the meaning of words, as it is built in the writing process of a dyad of newly literate students. Although the writing is the anchor locus, the author shows that it is in the context of enunciation that the senses are formed by the multi-modal exchanges between the participants (which go far beyond verbal). The analysis of a corpus of filmic records, according to the approach of Textual Genetics, unveils the textual creation process, with all its traces (constructions, reconstructions, "oral erasures") and enunciator language skills that the text - final product – does not allow to be perceived.

The role of coenunciation, so present in Calil's article, is also fundamental for the seizure of the process of assembly of the referential chain of a text, a central issue of

Neves e Souza's article. The authors investigate the way of creating and maintaining such chains in narrative sequences present in a set of Brazilian novels, showing that the process goes through the non-random selection of phoric elements. The study concludes that the choice of these elements serves precise functions in the construction of each text and therefore they cannot be reduced to a class with pre-defined values and roles.

The last article of this number, Viaro and Bizzocchi's, brings to light an innovative proposal for research in etymology, related to the preparation of the project Portuguese Etymological Dictionary (Delpo), developed by NEHiLP-USP. Although having emerged from a specific project, the theoretical and methodological contributions presented here go far beyond it, representing a very important input into this area of linguistics and into other areas that benefit from it. It is worth remembering that the etymological studies are the basis for understanding many linguistic processes, particularly historical ones.

Our issue ends with two reviews, a type of text not always present in the pages of *Alfa*, but always welcome, for their important role in making known recent and relevant works. Both analyze works of the same area - Discourse, addressed in each work from a different theoretical perspective.

Marchezan evaluates and comments on *Dialogism: theory and(in) practice*, a set of studies from a Bakhtinian orientation, organized by Brait and Magalhães. Souza analyzes *Language and Discourse: modes of organization*, which organically combines a set of Patrick Charaudeau texts, in an unprecedented publication in Portuguese of the work of this important researcher who proposed the Semiolinguistic Theory of Discourse Analysis.

We hope that this set of instigating studies are a pleasant source of new knowledge for our readers.

Rosane de Andrade Berlinck

CONTENTS

ORIGINAL ARTICLES

A LOOK UPON THE EMERGENCE OF CONTEMPORARY APPLIED LINGUISTICS THROUGH COMPLEX SYSTEMS PERSPECTIVE

Rogério Casanovas TILIO*
Lesliê Vieira MULICO**

▪ ABSTRACT: This paper, product of meta-research associated with some documental analysis, aims to revisit the history of Applied Linguistics (AL) in the light of Complex Systems: systems with different types of elements which connect and interact in different and changing ways. This history is approached in relation to change, upon the notion that AL is a system of living agents and in ongoing processes of coadaptation to the environment, be it within or outside the associations to which they adhere. For such, five characteristics are identified in AL trajectory: a) adaptive; b) non-linear; c) open; d) dynamic(al); e) having heterogeneous agents. Therefore, we intend to corroborate the historical perspective about the emergence of autonomous AL as a system in ongoing and incessant process of change.

▪ KEYWORDS: Contemporary AL. Complex systems. Change.

Introduction

How much straw is needed to break a camel's hump? Which particle must drop from a rock in order to cause a landslide? We do not know. The answer for these questions would depend on the length and weight of the straw line, the camel, the rock, the terrain conditions, body resistance, the strength of the wind, humidity, temperature, how an organism adapts to new conditions, etc. Therefore, it seems impossible to give linear and deterministic responses to these questions, for they imply so many variables, that any type of single-routed answer would be easily falsified.

In comparison, determining the factor that has led to the emergence of contemporary Applied Linguistics seems impossible – this Applied Linguistics characterized by being dissident from pure and theoretical Linguistics, and later dissident from an Applied Linguistics deemed hegemonic and primarily devoted to language learning and teaching. Contemporary Applied Linguistics (AL), seen as critical (PENNYCOOK,

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2001), transgressive (PENNYCOOK, 2004, 2006) and indisciplinary (MOITA LOPES, 2006, 2009), though far from being a consensus to linguists worldwide, finds important centers of reference in Brazil, where the Federal University of Rio de Janeiro stands out amongst others. Being impregnated by hybridism and transience, we believe that contemporary AL may be viewed as a Complex Adaptive System (CAS), i.e., a system with elements that connect and interact in different and changing ways (LARSEN-FREEMAN; CAMERON, 2008a), which we aim to demonstrate in this article. As a CAS, contemporary AL emerges from different adaptive processes throughout the history of Linguistics, unveiling its dynamic(al) nature.

Through Complexity Theory, we believe we can shed light upon the history of contemporary AL, showing how it has emerged dissociated from Linguistics and even mainstream Applied Linguistics. For such, we will build our argument based on the assumption that the interaction among the elements of a system provokes the emergence of a collective behavior, which simultaneously interacts with the environment. The collective behavior is non-linear, thus not proportional to its causal factors; and its agents change and adapt in response to feedback, heading towards self-organization and the emergence of a new behavior.

The present article aims to promote an understanding about the processes that contributed to the emergence of contemporary AL in the light of Complexity Theory. As contemporary AL is understood as a Complex Adaptive System, it should cater for some pillar requirements. To operationalize the data collection of the factors that favored the history of contemporary AL, we developed a document research compiling academic articles acknowledged as seminal to Brazilian Applied Linguistics (CELANI, 1992; MOITA LOPES, 1996), articles that revisit the history of Applied Linguistics (MENEZES; SILVA; GOMES, 2009; DAVIES; ELDER, 2004), and online websites of widely respected scientific associations in Brazil and around the world.

Requirements of a CAS

A system needs to involve multiple agents in order to be considered a CAS. These agents adapt amidst the action of other agents through trajectories over time. Thus, it needs to encompass heterogeneous agents, and it needs to be dynamic(al), open, nonlinear and adaptive.

Encompassing heterogeneous agents: a non-complex system involves a small group of similar agents that connect in a predictable and immutable way. A traffic light system is an example of a "simple" system (LARSEN-FREEMAN; CAMERON, 2008a), as it consists of three bulbs of different colors whose lights turn on and off in a fixed sequence. On the other hand, a Complex System should involve different types of agents or processes that are complex systems themselves, or subsystems of a major system. A speech community may be considered to be an example of this type of system, for it is comprised of sociocultural groups and subgroups, and individuals

that may be seen as Complex Systems, as they gather in discursive, interactional, psychological and neurological groups (LARSEN-FREEMAN; CAMERON, 2008a, p.28-29). According to the authors, "[…] the complexity of a complex system arises from components and subsystems being interdependent and interacting with each other in a variety of different ways."

Being dynamic(al): a Dynamical System evolves throughout time, realistically or conceptually, and moves along a trajectory, i.e., a sequence of states (GROGONO, 2005), the future of which depends on the present state (LARSEN-FREEMAN; CAMERON, 2008a). To be dynamic(al), a system is supposed to go through state transition, evolving from an initial state to a subsequent state, thanks to a change triggered by perturbation. The perturbation provokes different levels of disaggregation to all states of the system. These states altogether are called state space, and it gives way to a new organization, called attractor.

Fleischer (2011) and Larsen-Freeman and Cameron (2008a) explore the concept of attractor as "states of high-frequency occurrence", "[observable] states that the system statistically tend to assume", "modes of behavior the system 'prefers'", "a region of the system state space within which the systems tend to move". In practice, according to the authors, an attractor may correspond to either the forces that act upon a chaotic system "flag in the wind" (FLEISCHER, 2011, p.75), or a cultural artifact such as a "milk jug", whose overall shape has stabilized over time (pour-enabling lip and handle), though allows for a range of varieties in terms of material, size, proportion and interaction – it is possible to use it as a container of liquids other than milk (LARSEN-FREEMAN; CAMERON, 2008a, p.55). The latter authors also classify an attractor as strong, weak, stable or unstable, according to the variations in the system behavior, be it a horse gait, a person's attitude in his new job, or an athlete's susceptibility to an ankle injury at the top of his physical fitness (LARSEN-FREEMAN; CAMERON, 2008a).

Grogono (2005) shows that a dynamic system develops by means of a transient response followed by a stable state. Far from being static or paralyzed, the author highlights that the stable state may present a stationary, an oscillatory or chaotic reaction, for the changes go on occurring within. When the reaction is stationary, the system evolves to a given state and remains therein. When it is oscillatory, the system goes through a set of fixed states. When chaotic, it moves through states with no apparent organization.

Hollenstein ([2012]) advances Grogono's (2005) theorizations adding that dynamic systems are self-organizing, have nested and hierarchically organizing structures, and are comprised of elements that interact reciprocally and circularly. Hollenstein ([2012]) states that complex interactions amongst lower-order system elements cause novel forms to emerge spontaneously, so that the state of a system is not pre-determined. Therefore, when organized, elements of a certain state form more complex nested structures (attractors) that transit and evolve to a following state.

Being open: a Dynamical System should be open and keep developing indefinitely (GROGONO, 2005). Consequently, it should also be continuous, non-deterministic and dissipative. It should be continuous because its state space ought to appear like a *continuum*, wherein the intervals between state transitions are continuous or discrete, turning the system unpredictable. It should be non-deterministic because its formation ought to result from joining its predecessors. And it should be dissipative because it ought to reach organization by means of its successors' fork. Hence, a CAS is characterized by forks and joins that make its agents go through new trajectories, promoting state transitions that result in unstable equilibrium.

Being non-linear: non-linearity refers to the idea that the whole does no correspond to the sum of its parts (SMITH, 2007), which means that change is not proportional to input in a non-linear system (LARSEN-FREEMAN; CAMERON, 2008a). As the agents are independent and the interactions among them are not fixed, changes may occur within themselves, as well as the habits of a driver may change because of modifications in road networks.

Being adaptive: adaptation is the process through which an organism fits an environment owing to experience, which is responsible for guiding the structural changes in the organism over time (HOLLAND, 1995). This is thus the *sine qua non* condition for Complex Systems to be adaptive.

Holland (1995) suggests that such systems be those whose agents undergo aggregation and diversity processes. These properties connect by means of a mechanism called label.

The aggregation is the emergence point of complex behaviors on a large scale, starting from aggregate interactions of lower-order agents. When system agents aggregate, they form a new nested structures in system hierarchy, serving as force of attraction or repulsion to higher or lower-order agents. Yet, diversity refers to a system capacity to co-adapt in case a given type of agent is removed, which will result in a new agent that will occupy a new niche and perform most of same functions. Aggregation also emerges by opening new interaction opportunities. Thus, each new adaptation gives opportunity to the emergence of other interactions and new niches.

The label facilitates aggregate formation and its boundaries: a mechanism that identifies aggregate hierarchical organizations through which system properties may be observed and acted upon. According to Holland (1995), the labels persist even when the system agents are in continuous change.

Interaction amongst agents is a two-way street wherein "not only X cause Y but Y also cause X" (HOLLENSTEIN, [2012]). Hence, "lower-order elements create the macro structure, but the macro structure constrains interactions among lower-order elements". This phenomenon leads the agents to co-adapt, on a mutual causality mode (LARSEN-FREEMAN; CAMERON, 2008a).

On the grounds of these requirements, we believe contemporary AL may possibly be described as a CAS because it emerges from an ideological framework of an academic community (label) who integrates a hegemonic complex system organized

under the denomination of Applied Linguistics. Such communities are comprised of individuals (agents) that complexify as discourse, interactional, psychological, neurologic systems, whose behaviors put the system in motion, throughout unstable equilibriums, theoretical and epistemological reorganizations over time. These are the perturbations that make the system transit through different moments and turning points (attractors) towards autonomy as science (in relation to mainstream Linguistics and Applied Linguistics) – once its independence is not unanimously acknowledged[1]. Therefore, new theorizations lead the agents of both systems (Linguistics and Applied Linguistics) to regroup in new schools of thinking (labels that aggregate agents), which may even temporarily head between labels, making the system adapt and transit to another attractor or state space.

That said, contemporary AL is also an open system. Upon claiming apt to receive influences from other sciences (defining itself as interdisciplinary and transdisciplinary), contemporary AL develops continuously, aggregating and dissipating theoretical postures that gather new meanings inasmuch as its agents and labels change their behaviors within new attractors. Contemporary AL is non-linear because it is susceptible to agents' change. It is adaptive, for new conceptualizations and practices inaugurate new modes of carrying out research, which motivate the aggregation of other agents that trigger the elaboration of other concepts and new ways of integration, on a mutual causality relationship.

Therefore, if contemporary AL may be regarded as a CAS, we believe that we are able to revisit its history and propose another interpretative line, which will be done in the next section. For such, we will take the linguistic shifts as attractors, the researchers as agents, and the schools of thinking as labels. Such elements drive the system towards change.

Methodology

Raúl Fuentes Navarro (2007, p.166), social scientist in the field of Communication, defines meta-research as "the research about research". Despite the risk of being regarded a lower-order research type, he defends that meta-research is vital for recognizing legitimation processes in science, which implies "the use of the best resources of a science for analyzing itself". This perspective applies to the present paper for it aims to revisit the history of Applied Linguistics, retelling it based on the standpoint of change from the complexity point of view.

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[1] In several universities, unlike UFRJ, quoted elsewhere, Linguistics and Applied Linguistics integrate the same graduation program. The latter is commonly regarded as a branch of the former, and several courses still feature "Linguistics Applied to Teaching", thus addressing an old dichotomy (WIDDOWSON, 1979a) between Applied Linguistics versus Linguistics Applied, wherein Applied Linguistics is understood as nothing but the application of theories provided by Linguistics.

In order to reinforce the use of "better resources" to analyze the history of Applied Linguistics, we associated this meta-research to a document research, which allowed for raising data about the history of AL from seminal texts including articles, chapters of books and AL association websites acknowledged in Brazil and worldwide. Such sources have been organized in Table 1, in alphabetical order, by author's name and publication date. The complete references are disclosed in the References section.

Table 1 – Documental sources related to the history of Applied Linguistics

ARTICLES	Rampton (1997) Moita Lopes (2010)
CHAPTERS OF BOOKS	Allen and Corder (1973, 1974, 1975) Allen and Davies (1977) Celani (1992) Davies and Elder (2004) Fabrício (2006) Menezes, Silva and Gomes (2009) Moita Lopes (1996, 2006, 2009, 2013) Pennycook (2001, 2004, 2006) Rajagopalan (2004) Rampton (2006) Widdowson (1979a, 1979b)
SCIENTIFIC ASSOCIATION WEBSITES	AILA: http://www.aila.info/en/about/history.html ALAB: http://www.alab.org.br/pt/a-alab BAAL: http://www.baal.org.uk/dox/history_of_baal.pdf LAEL: http://www.pucsp.br/pos-graduacao/mestrado-e-doutorado/linguistica-aplicada-e-estudos-da-linguagem#historia LSA: http://www.linguisticsociety.org/resource/linguistics-profession

Source: Author's elaboration.

Upon delving into this database (Table 1), we looked for information that signals the idea of change within the thoughts, analyses and narratives disclosed the selected texts. In addition, we have looked for evidence of changes in behavior and reorganization of ideological frameworks in the institutions by comparing their historical journeys (addressed in the articles and book chapters) with their current statuses (reported in the very websites). Finally, we analyzed the journey of contemporary AL by means of the following concepts defined in section 2: CAS, agent, attractor, label, nested structure, perturbation, unstable equilibrium, coadaptation, mutual causality and adaptation, as will be developed below.

The emergence of contemporary AL from the perspective of change

> Here is an advantage of ageing and having memory: to know
> how stories begin and go on, and […] how the modes of
> producing knowledge modify. (MOITA LOPES, 2009, p.14).

Theorizations about CAS allow us to see individuals in motion as system agents, which occur because individuals trigger changes, and changes produce reactions that cause mobility to the system. In this respect, we believe Moita Lopes's words (2009), regarding the historical journey of Applied Linguistics, put such dynamism on spot without overlooking the existence of initial conditions; and that knowledge production triggered by these agents is mutable and develops throughout time. Hence, observing movement and change seems to be pivotal in order to comprehend how contemporary AL emerges as a CAS. Therefore, its initial conditions ("[…] how stories begin […]"), its trajectories, perturbations, co-adaptations and attractors ("[…] and go on […]"), changes and reactions from the environment ("[…] how the modes of producing knowledge modify") should be promptly identified.

Do we refer to changes from which initial conditions? Moita Lopes (2009) suggests modern education father Jan Amos Comenius (1985) is the first applied linguist, as he organized the first compendium with theorizations over language teaching in 1692. Yet, Celani (1992) affirms that the need to define Applied Linguistics starts to emerge by the end of 19th century. The publication of *Cours de Linguistique Génerále* (SAUSSURE, 1922) – materialized from Saussure's students' notes at Geneva University – should also be taken into account, for it institutionalized the emergence of mainstream Linguistics as a discipline.

In view of these possibilities, we assume saussurean Linguistics as the initial condition. Such choice owes to the fact that its determinist, objectivist and structuralist episteme has been the focus of criticism throughout history, leading Linguistics to transit and reorganize as a science in the form of Linguistics Applied, Applied Linguistics and contemporary AL – the latter being understood as an umbrella term for critical AL, transgressive AL, INdisciplinary AL and mestizo AL.

On the one hand, we should ponder and be judicious to make a decision about which initial conditions to adopt in order to analyze the trajectory of Applied Linguistics as a CAS. On the other, mainstream Linguistics determinism, objectivism and structuralism may be interpreted as labels that trigger perturbations, and thus unstable equilibrium in the system, making it arrive at its current status. We make this claim based on various papers whose aim is to legitimate the AL agenda over structuralist assumptions, which put forward harsh criticism to objectivism and determinism (FABRÍCIO, 2006; RAMPTON, 2006; PENNYCOOK, 2006; MOITA LOPES, 2006, 2009; amongst others). Through criticism, new theoretical propositions emerge, new labels are created, more unstable equilibrium is provoked, new agents are aggregated, and, thus, dynamism is promoted. As a result, open

attractors emerge owing to the influence of the environment by means of a continuous reorganization process.

Until the emergence of Applied Linguistics, some inner agents from mainstream Linguistics provoked disorder to the apparent stability of its system. By questioning determinism, scientism, and the quest for capital "t" Truth, these agents triggered the unstable equilibrium required to break with dominant theory, reframing the modes of carrying out research. Accordingly, AL aims to be an autonomous science[2] (though inherently transdisciplinary), and, thus, claims to be totally independent from mainstream Linguistics. The result of such a process is the emergence of a different theoretical framework – at times antagonizing mainstream theory –, which aims to dialogue with other Human and Social sciences, behaving as an open system.

This, however, does not necessarily imply that mainstream Linguistics is a closed system, since several labels have been gathering agents to their different niches throughout its history: from Moscow Linguistic Circle (1915) and Linguistic Society of America (LSA, 1924) to Prague (1928) and Copenhagen (1931) Linguistic Circles. Other labels have also emerged, such as Sociolinguistics and Generative Theory in the 1950's, as well as most recent studies in the fields of Psycholinguistics, Cognitive Linguistics and Neurolinguistics. Hence, we believe that unstable equilibriums, nested structures and co-adaptations have been occurring in each one of these fields of science, making the system transit between different states over time.

Celani (1992) and Moita Lopes (2009) identify some historical milestones that contributed to the emergence of Applied Linguistics. In Hague 1928, the First International Conference devotes to Saussure's teachings, consolidating structuralism. On the 20th century, the advances of structuralist philosophy in Linguistics lead to studies on teaching and learning in several disciplines, paving the way to the emergence of Applied Linguistics. And in 1940, World War II favored the development of learning materials for language teaching.

In the light of Complexity Theory, these factors are regarded as examples of perturbations that led mainstream Linguistics to move amidst labels and attractors and resulted in the emergence of contemporary AL. As it is an open system, co-adaptations occur due to pressures from inner and outer environments, making the system transit between a tradition that envisages problem-solving in the scope of learning-teaching (such as classroom practices and leaning materials), and other that seeks to raise intelligibility over matters of contemporary life (gender, sexuality, race, amongst other, according to Moita Lopes (2006)). The latter is now appreciated more holistically, extrapolating the investigations over language education, therefrom including various social themes, such as human identities followed by their subsequent ramifications and conflicts. Therefore, Applied Linguistics goes through a trajectory that implies agents' co-adaptations and reorganizations amidst triggered disorder.

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[2] It is important to highlight that characterizing AL as an autonomous science means acknowledging it as a field of knowledge, not as a subarea attached to a major area. Autonomous, herein, does not mean self-sufficient or disregarding other areas, for it would be inconsistent with AL inherently transdisciplinary in nature.

The authors also suggest the foundation of university departments and scientific associations as important milestones in the trajectory of Applied Linguistics. In 1957, Corder, Widdowson and Davies found the Department of Linguistics at the University of Edinburgh, and organize a series of books entitled The *Edinburgh Course in Applied Linguistics* (ALLEN; CORDER, 1973, 1974, 1975; ALLEN; DAVIES, 1977), later modified by Widdowson and collegues. In 1964, the *Association Internationale de Linguistique Appliquée* (AILA)[3] is founded during the International Colloquium of Applied Linguistics at Nancy University, in France. The event marked the climax of two years of preparation and discussion, wherein the membership was mainly comprised of linguists and language teachers in Europe, who represented the main research lines at that time: Second Language Learning Psychology, Sociolinguistics and Contrastive Linguistics. In 1965, Peter Strevens puts forward the first proposal for the creation of the *British Applied Linguistics Association* (BAAL)[4], which consolidates amidst Western Europe political matters, in view of the necessity to promote learning English as a Foreign Language (EFL) in the United Kingdom, and professionalize English teachers to work on this field. During this period, Great Britain already counted on several Applied Linguistics departments in the universities since 1957. In July 1965, BAAL members meet up to construct the association objectives, reflecting upon the interests of theoretical Linguistics, English as a mother tongue and foreign language in UK, and of bilingualism. The resolutions are forwarded to another meeting in the same year, in Reading, where members decided for widening the scope of investigations beyond language teaching and translation. In 1974, BAAL finally includes in their agenda the study of language in use and encouraged interdisciplinary collaboration.

Upon reinterpreting these facts in the light of Complex Systems, we view the associations and departments as labels, which aggregate agents that have their own theoretical standpoints within schools of thinking. The aggregation of these agents in nested structures results from system co-adaptation to perturbations (clashes, debates, discussions, political pressures), provoking theoretical standpoint changes that interfere in the direction of the trajectory (the objectives of BAAL in 1965 and 1975 were different), thus creating new labels that aggregate new agents. The revisions that *The Edinburgh Course in Applied Linguistics* went through between 1973 and 1975, Davies substituting for Corder in 1977, and the later changes carried out by Widdowson are evidences of how this system adapted because of perturbations. In spite of accommodating similar schools of thinking, the system is susceptible to inner unstable equilibrium promoted by their agents, forcing it to reorganize over time. AILA's foundation and trajectory follows a similar path, as predominant theories in the past share place with other theories at present. The trajectory BAAL took demonstrates the adaptive capacity of this system as regards the pressures of the inner and outer environments, such as the inclusion of European political issues in the research agenda, and different

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[3]   Available at: <http://www.aila.info/en/about/history.html>. Access on: 9 July 2014.

[4]   Available at: <http://www.baal.org.uk/dox/history_of_baal.pdf>. Access on: 9 July 2014.

theoretical-epistemological standpoints over a same analytical material, including the negotiation of investigation objectives. Hence, besides demonstrating that the system is open, a mutual causality relationship between inner and outer agents seems to take place, for both BAAL and political matters co-adapted amidst mutual pressures.

Another example of this phenomenon takes place in Brazil with the creation of the first Program of Graduate Studies in Applied Linguistics to Language Teaching (LAEL – Programa de Estudos Pós-Graduados em Linguística Aplicada ao Ensino de Línguas)[5] at the Catholic Pontifical University in São Paulo. The following fragment, taken from LAEL website, demonstrates how its trajectory resembles the one taken by the above-mentioned associations, which includes (1) organization in nested structures, (2) inner and outer perturbations to the environment, (3) unstable equilibrium, (4) co-adaptations, (5) emergence of a new nested structure. These numbers were included in the fragment below in order to mark the referred processes. The change in numbering corresponds to the change in system behavior:

> **(1)** […] it was created in 1970, […] **(2)** It was recognized as a center of excellence by CNPq on 03/31/1971, accredited by the Federal Council of Education on 09/23/1971 and reaccredited on 08/20/1978. (1) The Doctorate Program, created in 1980, **(2)** was accredited on 05/05/1983, together with the reaccreditation of the Master Program. In 1989, Master and Doctorade Programs were reaccredited once again. **(3)** In 1996, the Program acknowledged the need of restructuring its research definition and global organization, owing to an outburst of interests and changes in conceptions regarding the field of Applied Linguistics and Language Studies, **(4)** thus starting to include multiple fields of work. **(5)** As a result of this new perspective, from 1997 on, the Program kept its acronym LAEL, but changed its name to APPLIED LINGUISTICS AND LANGUAGE STUDIES […][6] (PUC, [2015]).

The nested structures correspond to the research associations (LAEL) as well as the substructures within LAEL system (doctorate program). As an open system, it suffers pressures from the environment, materialized as the assessment of validating systems (CNPq), or as the acknowledgement of other registering systems (Federal Council of Education). These outer agents, i.e. the individuals who represent such institutions,

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[5]   (PUC, [2015]).

[6]   The original text reads the following: [...] foi criado em 1970, [...] Foi reconhecido como centro de excelência pelo CNPq em 31/03/1971, credenciado pelo Conselho Federal de Educação em 23/09/1973 e recredenciado em 20/08/1978. O Programa de Doutorado, criado em 1980, foi credenciado em 05/05/1983, com concomitante recredenciamento do Mestrado. Em 1989, Mestrado e Doutorado foram novamente recredenciados. Em 1996, o Programa assumiu a necessidade de reestruturação de sua definição e organização global de pesquisa, dada a diversificação de interesses e mudanças de concepções a respeito do campo da Lingüística Aplicada e dos Estudos da Linguagem, passando a incluir campos múltiplos de atuação. Como decorrência dessa nova perspectiva, a partir de 1997, mantendo a sigla LAEL, o Programa passou a denominar-se LINGÜÍSTICA APLICADA E ESTUDOS DA LINGUAGEM [...]. (PUC, [2015]).

provoke unstable equilibrium and disorder to LAEL inner structure, leading its agents to make the system co-adapt by restructuring concepts while including others. Consequently, new nested structures emerge and the cycle restarts until another rupture to the initial system bursts out, which is similar to what occurred between LSA (1924) and Teachers of English to Speakers of Other Languages (TESOL), created in 1963.

Celani (1992) tells part of this story addressed hereby. The author mentions that, in May 1973, TESOL goes through several LSA meetings, which aimed to make Applied Linguistics be acknowledged as an autonomous science. In August of the same year, LSA proposes AL to be incorporated to its subsection provided that LSA quality standards were kept. This resolution was approved in San Diego in December. As this condition installed a climate of mistrust, TESOL members declined LSA proposal. In New York, 1976, TESOL creates a special-interests group named Applied Linguistics under the coordination of Bernard Spolsky, which has remained until nowadays. This is another example of complex system reorganization on account of outer environment perturbations. At present, LSA acknowledges TESOL as an entity that trains and accredits language teachers to work as linguists, which is an evidence of systems join, wholly or partially, times after going through fork:

> Language educators may teach their native or a foreign language at any level. **A degree in linguistics is a good background for those pursuing** English as a Second Language (ESL) or **Teaching English as a Second or Other Language** (TESOL) credentials. ((LINGUISTIC SOCIETY OF AMERICA, 2012, emphasis in bold added).

Amongst the ruptures that have occurred in the Applied Linguistics trajectory heading towards autonomy, we believe that the so-called "shifts" (MOITA LOPES, 2009) may have been pivotal. By provoking major perturbations, the turns led the system to radically reorganize its inner structures, forcing them to move to another attractor state. Coined by Moita Lopes (2009) "from Linguistics Applied to Applied Linguistics", the "first shift" was characterized by the application and devotion to Linguistics theories, which might have motivated Widdowson to inquire Applied Linguistics state-of-the-art in late 70's. According to Widdowson (1979a, 1979b), Applied Linguistics as a branch of language teaching pedagogy should look for a model that serves its ends. Hence, relevant types of knowledge to the investigation of language teaching processes should go beyond the ones formulated by Linguistics, for there is no single theory bearing explanatory power to cover the processes involved in language teaching and learning in the classroom. Moita Lopes (2009, p.15) points out that Widdowson's ideas imply "restricting AL to educational contexts" as well as "the need of a linguistic theory for AL that is not dependent on a single linguistic theory", which paves the way for other fields of knowledge to dispute learning-teaching issues in a way that it is interdisciplinary and multidirectional. Consequently, Applied Linguistics breaks with the application and devotion to Linguistics theories.

Widdowson's standpoints favor a fork process in the system over research methods and theory thinking, imprinting dynamism until it reached new modes of organization. On the predecessor attractor state, Applied Linguistics was characterized by the application and devotion to Linguistics theory. After going through disorder, the system starts to admit being influenced by other theories, breaks with its devotion to linguistic theories, and starts to influence them, thus constituting an open system. However, it still remains bound to learning-teaching and translation issues (initial state). Probably, these other theories served as perturbing agents that led the system to transit to institutional contexts further to education, something Moita Lopes (2009) coins the "second shift".

Moita Lopes states that, in the second shift, research works over foreign language learning-teaching (especially English) and translation start to dwell with investigations devoted to mother tongue learning-teaching, literacies and institutionalized contexts, such as media, companies, etc. Hence, Applied Linguistics receives influence from Vygotsky and Bakhtin sociocultural theories, which favor the understanding of language as a building tool to knowledge and social life. Moita Lopes (2009, p.18) highlights that "AL goes under reformulation as a field of inquiry devoted to solving problems of language use inside and outside language classroom", bringing to the forefront the situated nature of action and studies about how social actors perform language. In view of this new perspective, interdisciplinarity becomes pivotal, especially because the transition to the 21st century was marked by the booming upsurge of ideas in the fields of Social and Human Sciences which forced them to "re-theorize their views over post-structuralism, feminism, racism, post-colonialism and queer theories" (MOITA LOPES, 2009, p.19). Consequently, the social subject starts to be rethought from the non-hegemonic standpoint. Not coincidently, Brazil Applied Linguistics Association (ALAB – Associação de Linguística Aplicada do Brasil) is founded in 1990, whose aim is to

> [...] (re)build an academic-scientific-dynamic-reflexive locus nurtured by studies and reflections from AL field, which is not regarded as the application of linguistic theories, but **as a field of inquiry of language situated uses in different spheres of the social milieu**.[7] (ALAB, [2015], emphasis in bold added).

If for Celani (1992) the creation of ALAB is an evidence of development, since it imprints an identity mark to a research group that meets up to discuss a given corpus, in the eyes of Complexity Theory it represents the emergence of a new label in the adaptive trajectory of Applied Linguistics heading towards contemporaneity. We notice that the more Applied Linguistics system goes through unstable equilibrium, the more

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[7] The original fragment reads the following: [...] (re)construir um lócus acadêmico-científico dinâmico e reflexivo, fomentando, por sua vez, estudos e reflexões da área de LA, não concebida como aplicação de teorias linguísticas, mas como um campo de investigação de usos situados da linguagem nas diversas esferas do meio social. (ALAB, [2015]).

open it becomes, thus paving the way to the formation of new nested structures and, consequently, new aggregations with other sciences.

Pennycook (2006) labels another attractor within Applied Linguistics: "Transgressive Applied Linguistics". By doing this he defends that Applied Linguistics should overcome disciplinary conceptions. As a result, debates over Linguistics Applied versus Applied Linguistics become peripheral, leading Applied Linguistics to widen its scope of knowledge to include political issues. Therefore, transgressive theories regard disciplines as dynamical spaces of intellectual investigations and criticize the general understanding of interdisciplinarity, for they view different disciplines as static entities. Interdisciplinarity, in transgressive sense, starts to mean "movement", "fluidity" and "change"; as such, it has to "[…] cross conventional disciplinary boundaries as an end to develop a new research agenda which, while freely informed by an ample variety of disciplines, would stubbornly attempt not to be subaltern to any of them."[8] (RAJAGOPALAN, 2004, p.410).

If that is the case, transgressive AL starts to transit to an attractor state where the system is more open than its predecessor, since Pennycook (2006, p.77) accuses Applied Linguistics of trying to be "as scientific as Linguistics". Here we identify a process of unstable equilibrium and disorder, which results in a fork process involving first shift and second shift AL, now regarded as "traditional". Consequently, transgressive AL takes on a transdisciplinary and critical characteristic influenced by Michel Foucault's epistemological skepticism (1980), Franz Fanon's complex power relations, resistance and confrontation (1973), and Janks's interrelations between domination, access, diversity and planning (2000). Once again it is possible to observe the formation of a label that aggregates new agents and ensures system dynamism.

Another aspect of this dynamism lies in Fabrício's (2006) reflections over Applied Linguistics owing to its metamorphosis observed on a daily basis. In view of the current moment, depicted as late modernity (GIDDENS, 1991), liquid modernity (BAUMAN, 2000), recent modernity (CHOULIARAKI; FAIRCLOUGH, 1999), post-modernity (HALL, 1992) etc., new meanings emerge because of the transnationalization of the political, cultural and economical dimensions, the speed of images and discourses circulation, the mixture of discourses and practices, and the new modes of subjectivation. Such changes, according to Fabrício (2006), raise issues over all aspects of our lives and bring implications to Applied Linguistics, for it may be regarded as an "unlearning space", which

> […] bets […] the detours and the unlearning of any type of axiomatic position as a refinement of the knowledge process […] that gets accomplished in the transit through different regimes of truth and different disciplinary areas, thus defamiliarizing the meanings disclosed

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8   The original fragment reads the following: atravessar fronteiras disciplinares convencionais como fim de desenvolver uma nova agenda de pesquisa que, enquanto livremente informada por uma ampla variedade de disciplinas, teimosamente procuraria não ser subalterna a nenhuma.

therein, and changing the experience of its own field of knowledge[9].
(FABRICIO, 2006, p.61).

Under this perspective, Applied Linguistics reviews its own epistemologies, thanks to the understanding that language is a social practice, and studying it implies delving into its society and culture (linguistic and cultural shift). It is also a theoretical framework wherein researcher's choices are not neutral, but guided by ideological and political beliefs, which take into account power relations (critical shift), and the pluri-semiotization of the construction of meaning in contemporary life (iconic shift) (FABRÍCIO, 2006). Because of these changes have pressed Applied Linguistics to reorganize its theoretical framework, Fabrício (2006) points out to the need to build an agenda that would be political, transformative and ethical. Fabrício agrees with Pennycook (2006) by stating that Applied Linguistics rules out the attempt to establish disciplinary boundaries or reach capital-"t" Truth, and defends that the truth is built within the world, from the discourses produced by its agents.

Upon putting forward Applied Linguistics as an unlearning space, Fabrício (2006) acknowledges its mutable nature and its mutual causality relationship with the environment. Throughout her paper, she makes use of terms that allude to idea of dynamism and transience – such as "world in motion" (FABRÍCIO, 2006, p.45), "mutations in course" (FABRÍCIO, 2006, p.48) and moving territory (FABRÍCIO, 2006, p.53) – which allows for the reinterpretations over the emergence of contemporary AL in the light of Complexity Theory, as we are carrying out herein. These evidences lead us to hypothesize that if fork processes started to occur within Applied Linguistics itself, its relationship with mainstream Linguistics has become peripheral. If that is the case, it marks the emergence of contemporary AL as a CAS, which inevitably goes through processes of perturbations, unstable equilibrium, disorder, coadaptation and nested structuring so that the system transits to other attractors: from "traditional" to "transgressive" AL, to "unlearning space" AL, to "indisciplinary" AL (next paragraph).

Finally, Moita Lopes (2006, 2009, 2010) evaluates AL processes of arriving at its current status. By resetting himself as a post-modern linguist, the author breaks with the applied linguists from whom he inherited knowledge, and starts to pave new ways to producing knowledge, now as a mode of politicizing social life. Moita Lopes starts to advocate for an "AL as a mode of creating intelligibility about social problems wherein language plays a central role" (MOITA LOPES, 2006, p.14), i.e., without attempting at finding solutions, thus rejecting being limited to mainstream Linguistics as an essential theory, as several understandings about language nowadays may originate from other fields of knowledge. Hence, he proposes an "Indisciplinary Applied Linguistics", which, on the one hand, goes along with Fabrício's (2006) and Pennycook's (2006)

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[9]   The original fragment reads the following: aposta [...] nos descaminhos e na desaprendizagem de qualquer tipo de posição axiomática como um refinamento do processo de conhecer [...] que se realiza no trânsito por diferentes regimes de verdade e diferentes áreas disciplinares, desfamiliarizando os sentidos neles presente e modificando a experiência da própria área de conhecimento na qual se insere.

proposals about the zero necessity of having AL as a unified discipline; and, on the other, takes shape

> […] as a mestizo and nomadic field, especially because it aims to dare think differently, beyond established paradigms proven useless and, thus, need to be unlearned (FABRÍCIO, 2006) so that we can understand the present world.[10] (MOITA LOPES, 2009, p.19).

This use of language for understanding social problems starts to be possible inasmuch as the researcher bridges the gap between doing research and doing politics. For such, Moita Lopes situates his book "For an Indisciplinary Applied Linguistics" (Por Uma Linguística Aplicada Indisciplinar (MOITA LOPES, 2006)) "in the context of an ideological AL" (MOITA LOPES, 2006, p.21) in order to agree with Pennycook (2001) that "every knowledge is political", and with Nagel (1986), so as to reaffirm that "politicizing research act and thinking alternatives to social life are intrinsic to the new modes of theorizing and doing AL" (MOITA LOPES, 2006, p.22). Moita Lopes confirms this view in 2010 by analyzing political activisms disclosed in new digital literacies, typical of Web 2.0, wherein, together with Boaventura de Souza Santos (2004), he suggests:

> Doing research may be seen as a mode of reinventing social life, which includes reinventing ways to produce knowledge as well as forms of life, since researching is a mode of constructing social life whilst trying to understanding it.[11] (MOITA LOPES, 2010, p.402).

Moita Lopes's narrative leads us to some conclusions regarding Applied Linguistics as a CAS. Firstly, regarding the mutability and adaptability of its agents (from the most individual to the most collective levels), the author's break with Applied Linguistics and Linguistics mainstream theories, and his adhesion to a more militant scientific practice categorizes him as an individual complex system, who undergoes ideological, discursive, psychological, neurological, etc. adaptations. This change reverberates in the system at all levels, for his change of posture brings the environment and other agents to a state of unstable equilibrium and disorder, provoking new aggregations and disaggregations that make the system co-adapt into other nested structures, new labels and new attractors. Moita Lopes is one of the agents that comprise the Applied Linguistics system. As a CAS is comprised of several heterogeneous agents, its apparent

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[10] The original fragment reads the following: como uma área mestiça e nômade, e principalmente porque deseja ousar pensar de forma diferente, para além de paradigmas consagrados, que se mostram inúteis e que precisam ser desaprendidos (FABRÍCIO, 2006) para compreender o mundo atual.

[11] The original fragment reads the following: Fazer pesquisa pode ser visto como um modo de re-inventar a vida social, o que inclui a re-invenção de formas de produzir conhecimento assim como formas de vida já que a pesquisa é uma maneira de construir a vida social ao passo que tenta compreendê-la.

stability is constantly threatened by imminent perturbations and unstable equilibriums that lead the system to transit between states.

Therefore, despite relating to the same theoretical framework wherein AL is revisited in this article as a CAS, Moita Lopes's (2006, 2009) "indisciplinary" AL, Fabrício's (2006) "unlearning space" AL, and Pennycook's (2006) "transgressive" AL are liable to undergo unstable equilibriums and break-ups throughout time, by aggregating new schools of thinking (labels) whereas repelling others. Accordingly, contemporary AL becomes free to interact with other sciences and social changes that occur worldwide (outer environment), besides facilitating the transit between agents, labels and attractor states, as it is an open system. In view of the processes listed in this section that contributed with the emergence of contemporary AL throughout time, we leave to the reader an observation by Moita Lopes (2009, p.20), in the light of Rampton (1997, 2006), which goes hand in hand with Complexity Theory assumptions that helps understand AL better: "AL is becoming an open space with multiple centers".

Implications

Revisiting the history of AL in the light of CAS brings some advantages, besides complementing the narratives found in books and articles about Applied Linguistics and Association sites. The first advantage is the understanding of Applied Linguistics as system in continuous process of change, even when it is in apparent stable state. This happens because its agents go through individual processes of change, which may be motivated by the mere contact with other Complex Systems, for instance, or by accumulating knowledge capitalized over time. To illustrate that, Moita Lopes's concerns published in his 1996 book *Applied Linguistics Workshop* (Oficina de Linguística Aplicada), regarded as one of the landmarks of Brazilian Applied Linguistics, are starkly different from what he published in his 2013 book *Recent Modernity Applied Linguistics* (Linguística Aplicada na Modernidade Recente) – although both pieces present the same field of inquiry, i.e., Applied Linguistics contributions to language teaching. Consequently, if a CAS is comprised of several heterogeneous agents, it may undergo perturbation even when apparently reached stability.

Another advantage of the CAS standpoint is that it reinforces the understanding of Applied Linguistics as a living organism, likely to interfere or be interfered by the inner and outer environments. Hence, AL is capable of adapting as a system over time, without necessarily becoming cocooned as a discipline.

One last advantage is the notion that open-system-contemporary AL will keep going through several adaptations and changes through state spaces over time. Nonetheless, if it is difficult to determine the initial conditions of AL as a CAS, it is impossible to be precise about its following trajectories, for, according to Larsen-Freeman and Cameron (2008b), the process of a changing system is "retrodiction" (or "retrocasting"), rather than "prediction". It remains heretofore for us to age and have memory, so that we

can witness how this story will go on and how the modes of producing knowledge will modify.

▪ *RESUMO: Este artigo, fruto de uma metapesquisa associada a uma pesquisa documental, pretende revisitar a história da Linguística Aplicada (LA) à luz dos Sistemas Complexos: sistemas com diferentes tipos de elementos que conectam-se e interagem de formas diferentes e mutáveis. Abordamos essa história pelo viés da mudança, a partir da noção de que a LA constitui-se um sistema de agentes vivos e em constante processo de coadaptação. Para tal, procuramos identificar cinco características na trajetória da LA: a) adaptativa; b) não-linear; c) aberta; d) dinâmica; e) com agentes heterogêneos. Com isso, pretendemos corroborar com o olhar histórico sobre a emergência da LA contemporânea, destacando a LA como sistema em constante e incessante processo de mudança.*

▪ *PALAVRAS-CHAVE: LA Contemporânea. Sistemas complexos. Mudança.*

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THE WRITING PRODUCTION AND THE TEACHER'S WORK IN THE SUPPORT CLASSROOM

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- ABSTRACT: This paper approaches the writing production process of the textual genre "Response" on the teacher's practice in a Support Classroom for Portuguese Language Learning (SAAPL, in Portuguese) - 6th grade of a regular public school in the South-Central region of Parana State - Brazil.Based upon the concepts discussed by the Bakhtin Circle and the Applied Linguistics contributions in relation to reading and writing production, the work presented here aimed to attend and analyze a teacher's practice in this context. The data collection took place before and after some theoretical and methodological interventions with the teacher in a collaborative way, providing theoretical support, guided discussions about the processes of reading and writing and their implications for teaching and learning of the language. The results indicate the necessity to provide the SAAPL teacher with theoretical and methodological support in regarding the processes, as well as to supervise and guide his/her practice during the work with the response in this particular context.

- KEYWORDS: Written answer. Learning support classroom. Teacher's continuous education.

Initial considerations

The writing production of the Response genre is presented as a very common language practice at the school environment. However, according to Silva (2010) and Prupest (2007), most of the time, the teacher assumes that this genre is familiar to the student or that it is not a text produced in the classroom, therefore requiring no teaching of the production process, as if it was known and familiar for all students.

This way, this article is about the teaching work on the process of Response production process, a genre that needs to be taught in the Support Classroom for Portuguese Language Learning (SAAPL, in Portuguese), as the student, in this specific context, is still in the process of formation and development as a text reader and producer (MENEGASSI, 2010d, 2010e).

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Our aim is to analyze this work with the objective of discussing the possible guidelines to teaching this genre, in a way that allows the development of the student's reading and writing abilities and competence.

To that, we debate Bakhtin's theory conceptual notions, linking them to the discussions about mother tongue teaching and learning. Then, we demonstrate the method for data collection as well as present and discuss the teaching work with Response genre in SAALP, before and after developing collaborative tasks with the teacher.

Dialogism, replicable reading and interactive writing

In the propositions of Bakhtin Circle (BAKHTIN; VOLOCHINOV, 1976; BAKHTIN; VOLOCHINOV, 1999; BAKHTIN, 2003), all oral manifestations work dialogically, denoting that the meaning of the words happens on dialogic, interactional work between subjects, social and historically located. In the words of Barros (2003, p. 2), the dialogical principle "is the condition to the sense of the discourse", constituting, then, the founding property of language.

In the dialogic relationship between subjects, the utterance emerges, which takes to the concrete act of language use, the authentic and objective manifestation of language (BAKHTIN, 2003). According to Bakhtin, "[…] the concrete utterance (and not the linguistic abstraction) is born, lives and dies on the process of social interaction between participants of utterance. Its form and meaning are basically determined by the form and character of the interaction." (BAKHTIN; VOLOCHINOV, 1976, p. 9). The utterance therefore presupposes enunciation, "the real soil which nourishes it" (BAKHTIN; VOLOCHINOV, 1976, p.10), that has as fundament the interaction between subjects; without this soil and this fundament, the utterance is not Bakhtin's utterance anymore, but the utterance as abstract manifestation, sentence nor set of phrasal constituents, with no history, subjects or social space. The utterance in this way, "[…] pumps energy from a situation of life to verbal discourse […] [providing to the utterance] its alive historic moment, its unique character." (BAKHTIN; VOLOCHINOV, 1976, p.10).

Over the works which compose the Circle, the utterance acquires a diversity of characteristics which are discussed and may be systematized, like a) every utterance is directly connected to the extra verbal pragmatic situation, and cannot be separated from that without losing its meaning (BAKHTIN; VOLOCHINOV, 1976); b) every utterance comes from someone and is directed to someone (BAKHTIN; VOLOCHINOV, 1999); c) every utterance is oriented to the already-said (BAKHTIN; VOLOCHINOV, 1999); d) every utterance is produced under the expectation of obtaining counter-words (BAKHTIN; VOLOCHINOV, 1999; BAKHTIN, 2003); e) every utterance is essentially polyphonic (BAKHTIN, 2003). These characteristics constitute it in its social aspect.

From such multiplicity of characteristics we think the text, oral or written, according to Bakhtin's conception of utterance, since we consider its social aspects as constitutive ones, we analyze it considering its alive and concrete integrity.

In the mainstay of Bakhtinian notions of dialogism, the teaching of reading and written production at school is founded on dialogical basis. Thus, reading is not regarded as a monologic act, of mere identification or repetition. Being an utterance, the text implies a reading conception as act of replica (MENEGASSI, 2010d; ROJO, 2009). This way, according to Menegassi (2010d) and Rojo (2009), the reader is the one who puts him/herself as an active and critic respondent before the applied material, allowing the production of his/her own senses, which are revealed through his/her own words.

Concerning writing, the interactive principles inherent to text production remain evident. Writing, therefore, is understood as an action directed to the other and with a specific objective, amounting to in a space of social relations in which speaker and listener put themselves as subjects (BAKHTIN; VOLOCHINOV, 1999; BAKHTIN, 2003; GERALDI, 1993). It imposes the need to take into account, in the process of teaching the elements which compose the conditions of textual production: purpose, interlocutor, textual genre, text support, social circulation, author's position, defined on Bakhtin Circle and discussed by Menegassi (2010e). Showing these elements under an approach of writing as work, oriented by the dialogic language conception and by the concept of "text production", as exposed by Geraldi (1993) when dealing with differences between "text production" and "composition", Menegassi explains:

> [...] the purpose is always defined by a certain real social issue; the real interlocutor is the teacher, however, the virtual is marked as a specific member of social body; textual genre is defined according to the interlocutor and to the place of circulation of the text; the text support on its turn is also defined according to the previous elements; and social circulation is marked by the members of the social group that is aimed. With that, the author's position is regarded as of social subject who exposes his/her opinion from the contra-word produced in a defined communicative situation. (MENEGASSI, 2010e, p.86).

Under such perspective, the written production in the classroom is established as an action of effective language, in which the producer subject exposes ideas and intentions that he/she wants to share with the reader to, in some way, dialogue with him/her, provoking an answer separating itself from the traditional practices of "composition" (GERALDI, 1993), in which artificial texts are written, since the purpose is only to fulfill an assignment determined by the teacher.

To institute reading and writing as interactive and replica actions in the classroom, the teacher helps the student to progressively build him/herself as an active and creative reader and producer of texts, which demands well founded knowledge about the stages involved in the process of reading and writing.

The process of reading and the process of writing

In the light of theoretical models from Psycholinguistics and Cognitive Psychology, reading and writing are featured as processes formed by stages which are simultaneous and recursively employed by the reader during the text processing. These stages, when worked in a proper way in classroom, take the students to gradually build themselves as more autonomous, more critic subject readers of texts, able to produce their own words.

Thus, in order for the readers to establish replica reading, they initially recover and produce meanings in the process of recognition (here searching references and relations with the works of Bakhtin and Volochinov (1999), Bakhtin (2003) – first stage of the reading process, distinguishing the written code and associating it to the intended meaning in the text (MENEGASSI, 2010d). This stage is fundamental in order to the reader reach understanding, stage in which the reader, critic respondent, not only extracts content, but also produces inferences, that is, the reader can relate information and articulate textual data with his/her previous knowledge, individual experiences, through deep reading (MENEGASSI, 2010d). To achieve such level, the readers are in conditions of constituting their "own words", what leads them to the third stage of the process: interpretation – "the stage of using the reader's critic capacity, the moment they analyze, reflect and judge the information read" (MENEGASSI, 2010d, p.50), arousing, this way, a new text, as a result from the manifestation of reading made through information that differs from the original text. The last stage of the reading process is retention, meant to store the most important information in the reader's memory. The readers may keep the textual data in their mind, without analyzing or judging them, as well as retain information resulting of the analysis and judgment performed about the text read. It is in this case that the readers change their point of view regarding the theme and develop a new saying, since they already have a creative and autonomous nature (MENEGASSI, 2010d).

The stages of the textual production process commonly pointed by literature are: planning, execution, review and rewriting (MENEGASSI, 2010e). Planning involves the set of actions or subprocesses that precede writing execution, like a) definition of production conditions, which work as guidelines to the student through the other actions of planning as well as the other stages of writing; b) reading, text analysis and discussions with the objective of supporting the generation of ideas concerning future production; c) selection and organization of the information needed for the production; d) study and appropriation of compositional structure of the genre to be produced; e) collection of student's world knowledge information, regarding the theme presented to the text production.

Execution is the stage in which the producer effectively develops the text production, guided by actions developed during the planning stage. According to Menegassi (2010e, p.90), "[…] there is no definite way for this construction, because every person has an idiosyncratic perspective of his/her own, that is, personal for each individual for the production […]"; however, in the school environment, when the aim is students'

formation and development to be text producers, it is recommended that the teacher assists them in the stage of execution by helping them in the process of information progression in the text, as well as in writing rules, but without exempting them from the responsibility that authorship requires.

Review is understood as the stage where the produced text is critically evaluated and the changes that lead to operations of definitive adjustment are made. This evidences the constructive and working nature of the textual production. This process takes place during or following the process of execution and it can be done through three different perspectives: a) the student-producer; b) the classmate; c) the teacher. According to Menegassi (1998, p. 40), review "is a product that originates a new process, allowing a new stage in the text building", since rewriting is made from those changes in the text. Thus, rewriting is the stage for improvement of the text, in order to make it more comprehensible to the reader, so it can fulfill its social and communicative function, establishing this way, in Bakhtin`s words, the continuity of interaction and the chain of speech communication. In the perspective of writing as an interaction process, rewriting is not only eliminating inadequate formal aspects in the Portuguese standard language, "but also adding, substituting, withdrawing and dislocating information in the text that is in the process of construction" (MENEGASSI, 2010e, p.92). In order to do so, a producer, besides considering what was pointed out in the reviewing stage, also resumes the actions developed in the stage of planning, recovering the conditions that guide the text production, re-reading some material or reading new ones and analyzing new aspects to deepen ideas. That is the reason why stages of the writing process cannot be observed as isolated and steady blocks: they occur simultaneously and resourcefully, while they grant the producer a cohesive group of strategies and skills.

In order to promote student's formation and writing development, Menegassi (2010e, 2011), reviewing the stages of the reading process (MENEGASSI, 2010d) and the discussions by Solé (1998), proposes that students are guided during the process of writing production in different response modes: textual, inferential and interpretative. We will discuss these modes in the next section, which approaches the features of the Response genre.

The Response genre

The Response genre text is a language practice performed in the school environment, usually in an assessment event. While producing the text, the author – the student directed by the teacher in class – tries to answer to a question, explaining his/her comprehension about a text and defending his/her point of view about what was asked. Thus, the Response genre results from the relationship that the producer establishes among four elements: 1) the text read; 2) the question asked; 3) his/her knowledge and life experiences about the text and the theme approached; 4) the discussions and directions given by the teacher in the classroom.

When studying the features that constitute the genre referring to thematic content, style and compositional construction (BAKHTIN, 2003), we understand that the thematic content of the Response is determined by the aim of the question asked, which produces different genre modes. Thus, if the question requires that the students only locate information at the text surface and transfer it to the response (MENEGASSI, 2010c, 2011), without any manifestation of opinions and judgments, we have the thematic, text or literal response. If the question requires that the students make relations between the text and previous information to their knowledge, we have the inferential thematic response. On the other hand, if the question requires the intervention of opinion and previous knowledge in the topic that was read, making the students go beyond the reading and produce their own words, in a clear production of senses from the text meanings, the response is of an interpretative thematic nature. (MENEGASSI, 2010c, 2011). To Menegassi (2010c, 2011), those three response modes need to be worked in class, once they encompass all the stages of the reading process: recognition, comprehension, interpretation and retention (MENEGASSI, 2010 d). Furthermore, according to the author, it is also necessary to take into consideration the way questions are organized: firstly, asking questions of a textual response so that the student can learn to work with the text. After that, asking questions of an inferential response, so that the students need to establish relationships between the text and the information that they keep in their previous knowledge. At last, it is necessary to supply students with questions of an interpretative response so that they can reach the possibility of producing and adding their own meanings to the theme discussed. However, according to Menegassi (2010c, 2011) and in concordance with a research by Rodrigues (2013), the questions need to fulfill an increasing order of difficulty, to lead the reader to progressive reflection on the text that they are interacting with.

As for the composition structure, two forms of response organization are noticed taking into consideration the ways of the thematic contents presentation: in the first one, the response is abbreviated, and only the data required by the question are presented, because the theme manifestation happens only in command, e.g: *question: Which are the characters from the text? Answer: João and Maria*. In this case, the question and the answer make a single block of meaning, once the theme "characters from the text", present in the question, is not recovered in the answer. In the second way of organization, the answer is complete, firstly with the repetition of the theme structure of the question, and after with the supplying of the requested information. Starting on the last question, the answer would be as follows: *The characters from the text are João and Maria"*, in which *"the characters from the text"* is the theme assimilated from the question. According to Silva (2010), the theme recovery is an essential element from the responsive process. In this sense, it is desirable that the response present a complete compositional structure, with the clarification of the theme and of what is understood about it. Menegassi (2010c, 2011) and Rodrigues (2013) state that it is the complete answer that should guide the genre teaching in class, mainly in the stage that occurs between the reader's formation and development at school, as the case of SAALP, as

this methodology makes the students start a reading concentration mode (MENEGASSI, 2010b) that makes them feed a closer dialogue with the studied text.

Another composition structure of response is presented by Menegassi (2010c). The author suggests that, after working with the textual, inferential and interpretive responses, the student should be led to produce another response, which gathers information from the previous answers in just one question: "What is this text about?" (MENEGASSI, 2010c, p.186), organizing the thoughts from the set of previous ideas and answers. According to the author, some marked features are observed in this structure: the initial statement taken from the text – that coincides with the textual response; the explanation on that statement – that emerges from the answer as inference; and exemplification of this explanation, coming from elements of the reader`s personal life – based on the interpretive response. This construction, according to Menegassi (2010c, 2011) and Rodrigues (2013),leads the written text production which brings the global perception of the studied text, the summary of the theme and the judgment made by the student, requiring a critical active position regarding the text that was read (ANGELO; MENEGASSI, 2011).

As for the language style used in the responses, differences may be observed by keeping in mind the modes of genre. As an example, the textual responses present referential language, exposing data in an objective way, without comments or evaluation, as they constitute the repetition of the textual information without showing the creative element. On the other hand, the interpretative responses may be followed by expressions such as "I think", "in my opinion", "according to my point of view", depending on the intention of the one who answers in linguistically marking their opinion or not.

Having known the features related to the production context, thematic contents, composition structure and style of the response, we start to report and discuss the teaching work regarding the genre production in the context of SAALP.

The process of responses production in SAALP

Utterance Context

The program Support Classroom for Portuguese Language Learning (SAAPL, in Portuguese) was created in 2004, by Secretaria Estadual de Educação do Paraná – SEED (Paraná State Bureau of Education), to help students overcome their learning difficulties at the final years of Middle School, from 6th to 9th grades. These students attend Portuguese Language and Math classes out of their school period, and take part in activities aimed at overcoming the difficulties on these subjects, including their behavior as readers and writers[1]. We selected SAALP due to the fact that educative actions in this context should focus on reading and writing, while the guidance of the

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[1] Source: http://www.gestaoescolar.diaadia.pr.gov.br/modules/conteudo/conteudo.php?conteudo=28. Acess in 20 may 2013.

response production is a meaningful strategy to make propitious the student's formation and development as a text reader and producer.

The teacher we worked with during the collaboration actions is graduated in humanities, Portuguese and English language and post-graduated in teaching and learning of the Portuguese language. He has 17years of teaching experience. During the research, besides helping with the collection of data, materials and records, allowing the digital recording of his classes in the SAALP, he did his best in the reading and discussing theoretical and methodological texts, in the reflection on his procedures in class, as well as in the production and practice of activities to students in the Support Room.

We start then considering the actions for the responses production under the light of the stages of the textual production process – planning, execution, review and rewriting (MENEGASSI, 2010e) and of the reading process – recognition, comprehension, interpretation and retention (MENEGASSI, 2010d), starting from the assumption that both processes, reading and writing, cannot be set apart from each other when it comes to the production of the response to the reading question. Thus, in order to discuss the stage of response planning in SAALP, we take the conduction of all the work regarding text reading from the phase previous to the contact of the students with the pre-reading material until the reading process is completed, as the selection of information and organization of ideas regarding the response production – typical operations of the textual planning stage – are linked to the way that the processes of comprehension and interpretation were approached in the classroom interaction.

The production made before collaborative action

For analysis and discussion, we selected a classroom in which the teacher worked with activities related to fable "The Country Mouse and the City Mouse", by Angela Mattos, without any theoretical and methodological interference from the research. The class lasted for 50 minutes and included the participation of eleven students.

Chart 1 – Text "The Country Mouse and the City Mouse"

The Country Mouse and the City Mouse
Once upon a time a country mouse invited his friend, who lived in town, to visit him.
On the appointed day, the city rat went happily and excited to the countryside to try new experiences. However, at lunch time, he was disappointed with the served dishes: bland lentil beans and some roots that tasted like fresh earth. Appalled, he said:
"Poor you, my friend! No wonder you're so skinny! Come live with me in the city and together we will eat the finest delicacies of this country!"
And there went the two mice to the city [...]
MATTOS, Ângela. **The Country Mouse and the City Mouse**. Unpublished text, Curitiba, 2006.

Source: Organized by researcher.

The work before the reading focused in conversations about the differences between the countryside and the city, from inquiries made by the teacher, such as: "*What is the difference between animals that are in the countryside and in the city? As for transportation, what are the differences between the city and the countryside?*". It is noted that these questions seek the activation of the students' prior knowledge, but such questions are too generic, trivial, not very challenging nor linked to the text content, thereby not promoting motivation nor raising hypotheses to give purpose to the reading (SOLÉ, 1998).

After the initial dialogue, the teacher, while posing no links between this dialogue and the text, requested that each student read a passage aloud. During the reading, the teacher corrected the pronunciation of some words and called attention to the punctuation, but did not often let the student complete the sentence before asking the next student, unexpectedly chosen to continue reading. In these procedures, in SAALP, the reading is more a form of assessing the student's achievement in the activity of oral emission of the text, deciphering and discipline, control than a form of sense production, as a way of meaning constitution from the text-reader interaction (MENEGASSI, 2010d). Evidence of this finding lies in the fact that students did not have a first contact with the text prior to the reading; furthermore, they were subjected to the reading of text fragments, a practice that prevents the production of a global meaning to what was read; still, the unexpected choice for the continuity of reading out loud shows that it serves to control class discipline: with this artifice everyone should pay attention to what the colleague read, so they know where he/she stopped, in case they are chosen to continue the reading.

After reading out loud, the teacher came back to the discussion about the differences between the countryside and the city, as exemplified in Episode 1:

Episode 1
Teacher – "Are the countryside and the city dependent on each other? The countryside depends on the city? The city depends on the countryside?"
Students – "No"
Teacher – "Are you sure?"
L12 – "The city depends on the countryside because of the meat they sell to the market for the people from the city to buy and eat..."
Teacher – "So... I asked if there is a dependence: yes or no?"
Students – "Yes"
Teacher – "Yes... Why? Because if the countryside person overproduces, he has to sell... because out in the country he does not produce some things...what doesn't he produce there, L12? What doesn't he have there ... that he needs and cannot produce?"
[…]
Teacher – "The text says that the country mouse feeding was different from the city mouse's. In the field he had roots and a few more things from the earth. To eat, the mouse did not run any risk. But the city mouse had better things, had cheese, fruit and such, but what happens: in the

city he was in danger, he had more difficulty in obtaining the food. In relation to food, do you think the people in the countryside eat healthier than the people in the city?"

We realize that the teacher's questions do not promote discussion of the text. In addition, they require a single answer, which should be brief, addressing, therefore, the search for homogeneity. This is clear in the teacher's attitude toward the positioning of the student L12 - *"The city depends on the countryside because of the meat they sell to the market for the people from the city to buy and eat..."*.Just after that, the teacher asks, "*so ... I asked if there is a dependence: yes or no?*" that is, the teacher does not want to know what the student knows or thinks, he just wants that the student answers the question. Thus, this does not encourage the student to build and advance knowledge, but to remain on the condition that he/she is.

After the conversation, the teacher told the students: "*I'll write on the board a few things about what was spoken*" and then wrote the following task:

Answer:

a) In the fable "The country mouse and the city mouse," the city mouse has more difficulty in getting food. Do you agree?
b) In the story, the city mouse judges the countryside food as very weak (bad, insufficient). Do you agree?
c) Do you agree that there is dependency between the countryside and the city?
d) Make a list with things that we find in the countryside (e.g.: horse, house) and in the city (e.g.: house).

When relating the procedures of approaching the text with the process of planning the answers, it can be seen that the reading took place just to decode the linguistic material to transform it into sounds. There are no discussions promoted before, during and after reading to enable the student to identify textual information, to infer, and to interpret the text, but only peripheral conversations, far from the text. In addition, it is remarkable that it is not provided to the student the opportunity to gradually expand his/her knowledge, as the questions proposed for the production of written responses consist of repetitions which were presented before and after the reading. We assess that, repeating the same questions and centralizing the "dialogue" in his own voice, the teacher leads the planning strategy, orally anticipating the answer to the student. Thus, when drafting the answers, it is the student's responsibility to transfer to the paper what was said by the teacher, performing a sort of collage.

Another aspect to be considered refers to the type of questions, considering that the method of questioning determines the selection of information to be used in the answers. We can see that the reading process is disregarded because the four questions offered to students appear as personal questions (SOLÉ, 1998), without promoting the study of textual information. It should be noted, also, that the questions a), b)

and c) point in the command itself what is expected for an answer, leading to the interpretation desired by the teacher, thus limiting the criticism and the production of counterwords.

While students produced answers to the questions about what they had read there was no intervention by the teacher in order to help them understand the question raised and the text, he also did not help to compose the text, concerning compositional aspects of thematic content and style. Also, after students performed the task, no conversation was developed about the answers given by them, being neglected, therefore, the steps of revising and rewriting and the circulation of the texts. This supports the view of Silva (2010) and Prupest (2007), who believe the answer is not seen as a text production in the classroom, disobliging the process of teaching this genre writing.

We present some of the answers given by the students, after the work done with the text "The country mouse and the city mouse":

a) In the fable "The country mouse and the city mouse," the city mouse has more difficulty in getting food. Do you agree?
   C3 – "Yes. In the city is a lot"
   E7 – "Yes."

b) In the story, the city mouse judges the countryside food as very weak (bad, insufficient). Do you agree?
   C3 – "No, because it was healthy"
   E7 – "Yes because in the city we depend on money a lot."

c) Do you agree that there is a dependency between the countryside and the city?
   C3 – "Yes, because the countryside xxxxx goes to the city."
   E7 – "Yes because the countryside's food was very weak because they did not have cheese and other things.

We visualize that, in most cases, students show an impoverished reading of the text, with short or incomplete responses, which only report that they have implemented the proposed task without extending the dialogue with the text. The answer of the student E7 – *"Yes because the countryside's food was very weak because they did not have cheese and other things."*, repeats the presentation by the teacher after reading the text "*But the city mouse had better things, had cheese, fruit and such,* [...] – highlighted in the Episode 1; so the student does not act as a subject and author who reflects and constitutes his/her own words (BAKHTIN, 2003), but as a reproducer of statements that are not his/hers.

For these aspects, it can be said that the production of written answers in class is not established as an effective language action, in which the producer subject interacts, negotiates, works, reflects, discusses, evaluates, refutes and develops ideas, but as a written record, immovable, that only serves to inform that the student fulfilled the compulsory task. The training they received led to such actions.

The collaborative action with the teacher

With the intention of causing qualitative changes in the practice of teaching and learning of reading and writing in SAALP, we elected as methodological reference the assumptions of the collaborative research. In accordance with Magalhães (2004, p.76), collaborate, in this type of research, is an action in order to "[…] enable agent participants to make their mental processes clearer, and also to explain, to demonstrate, in order to create, for the other participants, possibilities to question, expand, replace what was put in negotiation." Thus, through collaborative research, we enter a dialogical relationship and partnership with the teacher of SAALP, to assist in understanding the purposes and concepts that guide actions in the context of the SAA and the possible needs of transformation.

For the development of collaborative activities, various instruments were used, being the theoretical and methodological texts, discussion scripts, and reflective sessions the main ones. We asked the teacher to read the following texts:

- MENEGASSI, R. J. O leitor e o processo de leitura. In: GRECO, E. A.; GUIMARÃES, T. B. (Org.). *Leitura:* aspectos teóricos e práticos. Maringá: Eduem, 2010. p.35-59;
- MENEGASSI, R. J. Perguntas de leitura. In: MENEGASSI, R. J. (Org.). *Leitura e ensino.* 2.ed. Maringá: Eduem, 2010. p.167-189;
- MENEGASSI, R. J. O processo de produção textual. In: SANTOS, A. R. dos.; GRECO, E. A.; GUIMARÃES, T. B. (Org.). *A produção textual e o ensino*. Maringá: Eduem, 2010. p.75-101.
- BORTONI-RICARDO, S. M.; MACHADO, V. R.; CASTANHEIRA, S. F. *Formação do professor como agente letrador*. São Paulo: Contexto, 2010. Capítulos: A leitura tutorial como estratégia de mediação do professor; Aplicação da proposta de leitura tutorial como estratégia de mediação.
- MENEGASSI, R. J. Uma nota sobre a leitura em voz alta (texto que faz parte do artigo Avaliação de leitura). In: MENEGASSI, R. J. (Org.). *Leitura e ensino.* 2.ed. Maringá: Eduem, 2010. p.101-105.

With a copy of these texts, we provided a discussion script containing guiding questions of reading and activities that incited the teachers to reflect on their practice in SAALP. The texts and scripts were taken as objects of discussion in reflective sessions that occur at the school at the teacher's activity time (outside classroom). At these sessions, together with the teacher we could: a) discuss the differences between the processes of formation and development of the reader; b) study the concepts and steps of the process of reading and writing; c) point out the features that the reading questions must present; d) critically analyze some of reading and writing activities applied in SAALP; e) evaluate and rate the suggested reading questions for working with SAALP; f) produce relevant questions for SAALP; g) point out the characteristics of the Response genre.

The production of answers after collaborative actions

For analysis and discussion, we selected two classes in which the teacher developed activities related to the text "Empty Wagon", after reading and discussing theoretical-methodological texts. Each class lasted for 50min and eight students took part in it.

Chart 2 – Text "Empty Wagon"

Empty wagon
One morning my father, who's a very wise man, asked me to take a walk with him in the woods and I gladly accepted. He stood in a clearing and after a short pause, asked:
"Can you hear anything other than the birds chirping?"
I concentrated on what I was hearing for a moment and then answered:
"I'm hearing what sounds like a wagon."
"Exactly; an empty wagon," said my father.
"How do you know the wagon's empty if you haven't seen it yet?" I asked.
"Well," replied my father, "it's easy to tell that the wagon's empty because of the sound it makes. The emptier the wagon, the louder the noise it makes!"
Even after all these years and now as an adult, whenever I hear someone talk too much or too loud, trying to impress or intimidate, mistreating others, bullying, interrupting everyone's conversation, being a know-it-all, trying to prove they're better than everyone else or being stubborn and proud, I can still hear my father say:" The emptier the wagon, the louder the noise…".
RODRIGUES, Wallace Leal V. *E, para o resto da vida...* Matão, SP: O Clarim, s/d.

a)   Father and son were travelling through the woods, when suddenly they hear a noise. What was that noise?
b)   The father, after listening attentively, said it was empty. How did he get to such conclusion?
c)   During the ride, the son learned a lesson he never forgot. What did he learn with the sentence "the emptier the wagon, the louder the noise"?
d)   The son compared the wagon to a person. Which are the flaws an empty person may have?
e)   What can I do in order not to be compared to an "empty wagon"?
f)   Based on the information given in the preview answers, write what you understood of the text.

Source: Organized by researcher.

Starting from the phase previous to the use of the text, we found that the teacher developed pre-reading activities, which, according to Taglieber and Pereira (1997), and Solé (1998), aim to drive motivation and, consequently, the construction of objectives to the reading, activate the student's previous knowledge about the content of the text, as well as to prompt the production of previews and questions regarding the text. To this end, questions from the title were proposed:

Episode 2

teacher– Before I give you the texts... Imagine that the text has this title here… "The Empty Wagon" (writing on the board)… So, I ask you… What comes to your mind?

L26 – An empty wagon...

Prof.– Yes... An empty wagon… But where is this wagon? What kind of wagon is this? Where is it? When I talk about a wagon, what does it remind me? A city, a center?

L23 – A farm...

[...]

teacher.– So, when we have a title… such title gives us some information in advance. Do remember what we spoke of during the last classes? […] So, illustration… title… the source where the text was taken from… they serve me as clues so that I can make predictions… so I start to imagine what this text will be about…. […] After reading we will see if the predictions were confirmed… that is… if that which I thought about will really be in the text... [...]

In these initial interactions, we can see that the teacher stimulates the production of previews about the text from information regarding daily facts and world knowledge, causing the participation of the student since the beginning of the process and favoring the possibilities of attention and comprehension when it is time for the reading. In addition, it clarifies the importance of the title, besides establishing linkages between pre-reading and reading, what enables the student to institute a purpose for the reading and to understand the reason of the pre-reading activity.

After the initial interactions, the teacher asked for a silent reading of the text, a moment in which the students had their first contact with the material and could constitute individual meanings to the reading. The specificities of silent reading and out-loud reading were discussed in collaborative actions, demonstrating satisfactory results, because the teacher learned that not all texts are appropriated to an effective out-loud reading; the professor understood that for a text such as "The Empty Wagon", the silent reading allows the reader to create a picture of the description presented by the narrator, what results in the production of the meaning of the text (MENEGASSI, 2010b).

After silent reading, the teacher went back to the previews made before the reading, an important resource to teach the student to verify and analyze the previously raised hypothesis:

Episode 3

Teacher – So... Those predictions we made... what we imagined… were confirmed or not?

Students – No...

Teacher – Wasn't he a lumberjack?

Students – No...

Teacher – Wasn't he selling anything?... The wagon didn't tumble down… that's why it was empty?

Students – No…

F8 – The wagon was coming down the road… making a lot of noise. Then the father asked his son if he was listening to that noise... Then he heard the noise of the wagon...

Teacher. – Ah! So, let's go... I will read the text for you…

Getting back to the predictions previously made, we notice an emptying of the activity developed before the reading, as the professor focused only on that which was not confirmed in the text – *"Wasn't he a lumberjack? Wasn't he selling anything? Didn't the wagon tumble down?"*, transforming the pre-reading in a game of right or wrong, without purpose from a pedagogical point of view. As pointed out by Solé (1998), the activities before the reading, if not conducted properly, deviate from the theme and main aspects of the text, may tire the students or not provide clear organization. This way, in the pre-reading and in the verification of the predictions made, the most relevant elements must be encapsulated, this will help the apprentices to face the reading and, consequently, produce more coherent answers to the questions made.

Another aspect that can be highlighted refers to the fact that from the student F8's positioning, which summarized what was read, pointing out the constitution of individual meaning to the reading, the professor only manifests agreements, saying "*Ah!*", but the teacher does not instigate the student to conclude the understanding of the text, interrupting him to read. When interrupting the student, the professor leads the practice to a monologue reading, revealing the difficulties in articulating the different voices that circulate in the classroom.

Following the activities in SAALP, the teacher sought to perform a shared reading of the text, telling the students: "*I will pause sometimes and I want your participation… I want you to participate by saying what you could understand…*". The shared reading was an element of discussion of collaborative actions, and it is understood as the practice in which the teacher and the students dialogue while they read the text together, formulate predictions and questions about the text, evaluate the predictions made, search for the answers to the questions, clear doubts, sum up ideas, relate the textual information to the previously stored knowledge (SOLÉ, 1998; MENEGASSI, 2010a). We evaluated that the practice developed by the teacher did not correspond to a shared reading, but a directed one, regarding that the responsibility for conducting the reading was entirely the teacher's: only the teacher asked questions, and the students were supposed to answer them concisely.

Furthermore, we noticed that the questions asked by the teacher during the reading were only about the meaning of words in the text, for example: "*What is 'wise' for you?*"; "*What does 'gladly' mean"?; What is the meaning of the word 'stood'?"; What does 'clearing' mean?"*. When asking only about the meaning of lexical items, the relation between the textual information, the grasping of basic ideas and global comprehension of the text were darkened, restricting the student's involvement with the reading. Thus, it was noticed that the students participated more actively in the beginning of the reading, though with concise answers to the professor's questions. During the reading, the students' voices ceased until only the

teacher's voice was left, who, instead of instigating reflection and reasoning, only chose to explain the text:

Episode 4

Teacher – I can still hear my father say:" The emptier the wagon, the louder the noise…"So, the son here has put into his life some things he learned from his father during that ride... He learned something from the ride… Even a sentence the father said was enough for him to imagine that phrase in his daily routine… To his life… How that serves me?... to know that the empty wagon makes a lot of noise… So, the son, after that ride, learned a lesson… the text is not a fable, but it brings a lesson learned… So, we have to think about what the text wants to teach us… Why it is good for our lives… Just like the son learned something with it… ok?... After this reading… the comments… I hope I have answered some of your questions, especially with these words in which we took a break to have a chat…

In this statement, the teacher no longer instigates the students, formulating new questions that could amplify their knowledge, maybe despondent because of the lack of participation he had. At this moment, the basic assumption of shared reading in the classroom is erased: the interaction with the students, in order to lead them to the comprehension of the text.

In episode 4, it is pointed out that the teacher mentions some times that the son learned some things from the father and that the text brings about a lesson, but he does not debate with the students what was the lesson the son learned nor the lesson in the text, aspects which are not explicit in the text materiality, but must be constructed by inference. Therefore, the teacher lets his point of view appear: the inferences emerge naturally from the reading, and that they do not need to be taught in SAALP.

Due to the pointed out aspects, in the reading practice, which is a strategy inherent to responses planning, students were little prompted to analyze, associate information, infer, reflect, and discuss about the textual content.

Another strategy of the planning stage of the response textual production consists in the selection of information relevant to writing. We understand that, for the Response genre, the selection depends on the modality of the provided question. In this sense, the questions of textual answer, (MENEGASSI, 2010c), such as a) and b) from the questionnaire prepared by the teacher, determine that the choice of information is based exclusively on the text. On the other hand, questions with inferential answers, (MENEGASSI, 2010c), such as c) and d), define that the choice of information comes from the dialogue between the reader, the question and the text. In the case of interpretative questions, the information depends on the reader to go beyond what was read and produce his/her own words, (MENEGASSI, 2010c, 2011), as seen in question e). When planning the exercises following these modalities, the teacher's work highlights the reading process approach – recognition, comprehension, interpretation and retention (MENEGASSI, 2010d), discussed in collaborative actions. This provides the reader's development, and the teacher works at an increasing level of textual

production complexity, once part of the process of locating the information advanced to the level of production of new textual information, via the process of inference, until it reaches the level of generating the reader's own words. Therefore, the organization and the sequence of questions have shown to be proper to the context of the SAALP.

To better guide the student in the selection of appropriate information to the production, the teacher clarified some things to the students: "*We will go over some exercises… these exercises, some of you will have to go back to the text… some answers are according to the text… others are about interpretation… the interpretation ones, can you find the answers in the text?*" […] *To interpret is to show what you have learned with the text… in the case of the text we have read, has the son leaned anything!? "Interpretation question is based on my knowledge and on the information the text brings to me… If the text gave me much information added to what I think, and my information… I can make my own answer. So, there are answers for which you need to go back to the text, reread… and answers that are interpretative, which are your opinion…*" These comments dialogue with the readings and discussions done in collaborative actions, which aimed to reflect the process of reading, so that the teacher had whatever was necessary to develop a gradual process of appropriation in the possible levels of the text. Thus, we visualized that the teacher shows awareness of the question's modalities, and worries about differing the questions from the textual answers from the interpretative answers.

However, it seems that the need to pay attention to the order of the questions, as Menegassi (2010c) defends, was not clear to them, as it is stated in episode 5, when the teacher orients the students on the difficulties of producing an answer from inference:

Episode 5
Teacher – A tip for you... when you are having a test, whichever test it is… Math, Geography, History or Portuguese… there are some exercises to do… when you get to c) like this one… which is the most difficult one… you take longer to do it…. it doesn't flow… Will you get stuck there until the bell rings? Is that how it's done? No! So, what do you do?... You skip c) if it is difficult, skip this exercise, which is difficult, and go to the others… solve the other exercises then you return to this one that is more difficult, that requires more time to write an answer…

With these instructions, the teacher suggests that the student, when facing such difficulty, ignore the inferential question – "*Skip letter c) if it's difficult*" – and go to the other ones, one of them being inferential and the other one interpretative. However, with no understanding of question c) – which requires students to explain what the son learned with the phrase *"The emptier the wagon, the louder the noise…"*– the student cannot answer the next question – the questions depend on the comprehension of c) – and, therefore, the student cannot advance in the reading process. However, we see that the teacher has not assimilated that the questions need to follow an increasing order of difficulty, in a way that it leads the reader to a progressive reflection about the text with which the reader is interacting. This way, the professor ordered the questions

about the text "The Empty Wagon", in an adequate way because it probably repeated the model suggested in the scripts of the discussion, without being aware of the reason of the order and sequence suggested.

Concerning the characterization of the Response genre – another planning strategy in the answer production – the teacher asked that the answers given were complete, reminding that the complete answer is "*the one in which I get part of the question… use it in the answer and then go to the information*". In addition, it was requested that the students remembered that the answer is always a small text and that it should begin with capital letter. These explanations have shown to be positive, evidencing that the answer, after the collaborative actions, was characterized as text production that should be taught in language class.

In the phase of implementing the written responses production, in which the students executed the task of answering the reading questions, the teacher helped to conduct the construction of the phrases, the organization of the genre compositional structure, the coherence of the presented information, as well as the articulation of the information with cohesive elements, indispensable elements concerning SAALP context.

For the production of the first few questions – the ones with textual responses – the teacher's help focused on the compositional constructions of the genre:

Episode 6

Teacher. – "Father and son were walking through the woods when, suddenly, they heard a sound. What was that sound?" Remember some little details… I am starting to answer… I am creating a little text… aren't I? How do I start it?

L26 – With a capital letter…

Teacher – What else?

L23 – Space for the paragraph…

Teacher – Ok… The answer is complete... I am going to do it with you on the board… Father and son were walking through the woods when, suddenly, they heard a sound. What was that sound?

A27 – A wagon…

Teacher - Am I only writing this? I want a complete answer… What should I do, then?

L26 – It was the sound of a wagon…

Teacher – What else can I write?

L23 – They heard the sound of a wagon.

L23 – They… Who?

Teacher – Father and son… so… (Writing on the board with the help of the students) Father and son were walking and heard the sound of a wagon... Note that the simple answer would be only... a wagon… Note that "Father and son were walking and heard the sound" is in my question… A complete answer é when I take part of the question and, then, go to the information asked.

It can be noticed, in this dialogue, that the teacher detains the compositional structure of the answer, asking for it to be complete, which is, once again, defined by the educator as: *"a little text"* and *"a complete answer is when I take part of the question and then go to the information asked"*. However, we consider that the textual data need to be brought up and discussed with the students to provide a more productive dialogue with the text and, therefore, a more active response. So, it would be important the return to the planning step, with the rereading and discussion of the sentence that origins the answer response, verifying, also, if the students realized that only after the father's confirmation – *"That's right, said the father, it's an empty wagon"*, it is possible to identify the sound heard by the two characters. That way, the articulation between the planning and the execution steps, in the written answers, could lead to a greater progress in the development of the reading and writing skills of the SAALP student.

The absence of care concerning the textual information – fact noticed in the conduction of the activities related to pre-reading, directed reading and oral text discussions – can also be verified in reading questions elaboration itself. The questions only refer to the initial data of the text, undermining the construction of the textual sense, as the localization of the information is concomitant and recursively used by the reader throughout the whole text processing (MENEGASSI, 2010d).

It is verified that the disregard concerning the text reverberated in the production of the inferential and interpretative responses. The students presented difficulties in executing the writing production of these types of answers, as, during the planning step, there were not many reflections concerning the contents of the text, and there was no effective work done with the textual information, an indispensable aspect when it comes to the SAALP context. Episode 7 demonstrates how the teacher conducted the production of the answer to question c):

Episode 7

Teacher – During the ride, the son learned a lesson that he never forgot. What is a lesson? (silence)

Teacher - There was a learning… wasn't there? Didn't the son learn? He was a child and he went wandering through the woods with his dad... and then it says…"I became a grown up and still remember these words"... he learned a lesson he never forgot… what did he learn with the phrase: "The emptier the wagon, the louder the noise…"? (silence)

Teacher – Now, the answer is more difficult… after all, what did the son learn with the phrase? He learned something, didn't he? There are some clues at the end of the text… How will you do it? You will reread the end of the text and, then, set up your answer…this answer is not totally ready in the text, for you just to get there and find it… you have to read it and organize your answer based also on the text… but you can draw your conclusions on what he learned from that…he learned that an empty wagon makes a lot of noise… what does that mean to his life? What lesson did it bring? What did he learn with it? This is one of the most difficult to answer…

(silence)

Teacher – Think about people… concerning people... forget the wagon... transform it to our lives… our relation with people… what did the man learn?

(silence)

Teacher – This one is a tough one, isn't it? L23, can I take yours?

L23 – I haven't finished yet… I just got it now…

Teacher – You just understood the question c) now? What did you understand?

L23 – hmm… like… an empty person is the one that doesn't have love, affection… it will not be treated well…

Teacher – So, L23 said he learned an empty person is the one that doesn't have love, affection… and that, consequently, she won't be treated well… right!

[…]

Teacher – Let us think together…. What is an empty person?

L26 – Someone that doesn't have love... doesn't have affection…

Teacher – Doesn't have affection… what else? Read the end of the text (briefly looking at the text): treats people with anger… speaks too much…interrupts people…

During episode 7, facing the silence of the students, the teacher re-asks the questioning: "[…] *forget the wagon... transform it to our lives… our relation with people… what did the man learn?*" to L23, which responds that "*an empty person is the one that doesn't have love, affection… it will not be treated well…*", response accepted by the teacher, but distant from the discussion proposed by the question and the text. The difficulties compel the teacher to ask the students to go back to the textual information, which were neglected during the execution of the textual response step: "*There are some clues at the end of the text… How will you do it? You will reread the end of the text and, then, set up your answer…*", showing that inferential and interpretive responses relies on a well-directed and succeeded execution of the textual responses.

Due to the difficulties presented by the students, we saw that the worrying with production of complete answers, demanded in the production of textual answers, does not exist anymore. The teacher exclusively focused on the thematic aspects, in this second moment, and did not explore the compositional structure of the answer.

The revision step, which consists on the critical analysis of the produced text, with an intent to encourage textual growth, was carried out during and shortly after the execution of the answers. As this process was showing not to be still developed enough for the SAALP students, the revision was done through the perspective of the teacher. Besides identifying the problems, the teacher made comments and gave directions for the rewriting, and constantly instigated the students to interact with each other, saying: "*When you finish your answer… read it again and then you find the errors*"; "*Read the answer to see if that was what you really needed to say…*". In that way, through these orientations, the educator pursued teaching the student to raise, him/herself, the aspects to be changed; what, according to Menegassi (2010e), is the ideal tactic of revision and which needs to be worked with the SAALP students,

so they can, in the future, be in a position where they competently auto correct their own texts.

It was noted that the different types of responses worked by the SAA offered different points of view at the revision process. Thus, while in the textual responses, the revision evidenced the structural composition of the genre, the inferential and interpretive ones evidenced the textual contents.

In relation to the revision of the textual answers, the teacher went back to the complete response to *question b* issue*: "The father, after carefully listening to the sound, said it was empty. How did he reach that conclusion?"*:

Episode 8

Teacher – (after reading what the student had written) Look, here, L26. You gave a direct response. Is it a direct answer that the teacher is asking?

L26 – no…

Teacher – You didn't use anything from the question… Let's answer it completely? The question is the father reached the conclusion…what conclusion did he reach?

L26 – That the wagon was empty…

Teacher – And how did he reach the conclusion that the wagon was empty?

L26 – It was making too much noise…

Teacher – So, what is the answer like?

L26 – Reached the conclusion…

Teacher – Who reached the conclusion?

L26 – The father…

Teacher – Then… The Father reached the conclusion that the wagon was empty because… (the teacher asks L26 to finish the answer by himself).

It is noted that, initially, the teacher draws the attention to a production problem: *"You gave a direct response. You didn't use anything from the question…",* making it clear to the student what should have been revised. Then, proposed to the student changing the form of the text: "*Let's answer it completely?*", using, for it, the first person of speech "you", intending to establish a process of dialogue with more approximation between the roles of teacher and student. Secondly, the teacher oriented the student through the textual improvement procedures, recapturing what was asked in the question, *"The question is the father reached the conclusion…"*, and others aspects, *"…reached what conclusion?" "And how did he reached the conclusion that the wagon was empty?"*. During the rewriting process, it is found the student's difficulty, as the educator asks: "*So, what is the answer like?",* and the student answers: "*Reached the conclusion…",* forcing the teacher to ask a new question "*Who reached the conclusion?*" and help to elaborate a more formal response "*Then… The Father reached the conclusion that the wagon was empty because…*". These aspects show that, in the SAALP context, the textual revision implies teaching, persisting, orienting, practicing, exercises, trials.

In the inferential and interpretative response revisions, the actions of the teacher were focused on the thematic content, as exemplified in the episode 9:

Episode 9

Teacher – In letter d)… "The son compared a wagon to a person. Which flaws can an "empty" person have?"… and then you have put… "the carriage is noisier"… it is missing the comparison to a person… so, it is not the wagon that you are going to talk about… you can mention it… come on... the person is noisier… speaks too much… you can write it down…and, at the end of the text, we have another information… the text has a lot of tips… look here… "interrupting everyone's conversation, wanting to be the only right one"… has all those flaws plus what you guys understood… another thing…each word you put you separate it with commas and the "and" goes at the end…

In this scenario, the teacher starts the revision showing the problem in the production: "*and then you have put… "the wagon is noisier"… it is missing the comparison to a person… so, it is not the wagon that you are going to talk about…*" and, then, guiding the student concerning the usage of typical linguistic-discursive operations of the rewriting process (MENEGASSI, 2012e). Thus, in order to bring coherence to the text, the teacher conducted the student to replace the word "wagon" with "person" - "*so, it is not the wagon that you are going to talk about… you can mention it… come on... the person é noisier…*" - and, to complete the information that were not fully given to the reader, the teacher guides the student to an addition operation - "*and, at the end of the text, we have an other information… the text has a lot of tips… look here… 'interrupting everyone's conversation, wanting to be the only right one'… has all those flaws plus what you guys understood…*". It is noted that performing the operation of adding information demanded a new textual revision, but, this time, focused on the graphic element and for the connective usage: "*each word you put you separate it with commas and the "and" goes at the end…*".

From the changes suggested and guided by the teacher, the rewriting of the responses emerged, confirming Menegassi's view (2010d) that revision and rewriting are inseparable steps.

After the students answered the questions, the educator requested some of them to read their responses. In this moment, he commented about them, suggested some complements, compared the different types of answers. Therefore, there was a divulgation on the textual productions, indispensable moment for a practice of production based on a dialogic conception of language.

We present the responses given by the student A27 referring to the "empty wagon" questions, taking note that the teacher helped his pupils, both individually and in groups, during the execution, revision and rewriting steps and corrected the spelling mistakes of a few productions:

a) *Father and son were walking through the woods when, suddenly, they heard a sound. What was that sound?*
A27 – Father and son were walking through the woods and heard the sound of a wagon.

b) *The father, after hearing carefully, said that it was empty. How did he reach this conclusion?*
A27 – The father reached the conclusion that the wagon was empty because it was making a lot of noise.

c) *During the ride, the son learned a lesson he never forgot. What did he learn with the phrase: "The emptier the wagon, the louder the noise…"?*
A27 – He learned that, in life, there are people that look just like an empty wagon, because they are rude, speak too much and are impolite."

d) *The son compared the carriage to a person. What flaws can an "empty" person have?*
A27 – It can have flaws, no love, no kindness and with lies, be rude and bad.

e) *What can I do to not be compared to an "empty wagon"?*
A27 – To not be compared to an empty wagon, we have to be kind, loving, fond and not offend friends.

It seems that students' responses reflect the teacher's leading with the process of reading and writing in SAALP, characterizing the answers as textual productions and not only fragments or single words that function to inform the accomplishment of a school obligation.

For questions a) and b) of textual response, the students present complete answers, following the teacher's instructions. So, to answer question a), he/she repeats the same structure of the question - *"The father and the son were walking and heard a noise"* and then provides the information required by selecting the text - *"a wagon"*.

For inferential answer questions and interpretative response, A27 presents abbreviated structures, displaying only the data requested in the question, since the theme manifestation is only on command. We quote, as an example, the answer to question d) - *"It can have flaws, no kind, no love and with lies, be rude and bad."* in which the topic "flaws that an 'empty' person can have", present in the question, is not recovered in the response. This is because during the stages of execution, review and rewriting of inferential and interpretative responses, the teacher did not ask for the complete answer, passively accepting the abbreviated texts produced by students, to provide help with the selection and organization of information pertinent to the production of responses.

On the thematic contents, the student A27 demonstrates, with his responses, interaction with the text and with the discussions in the classroom. Thus, he brings to the answers the student L23's comment in Episode 7 - *hmm… like… an empty person*

is the one that doesn't have love, affection… it will not be treated well…", the teacher's guidelines, also in Episode 7 - *Read the end of the text (briefly looking at the text): treats people with anger… speaks too much…interrupts people…"*as well as textual information - *"a person talking too much, screaming (in order to intimidate), treating others with inappropriate, arrogant rudeness, interrupting everyone's conversation, wanting to show that he is the owner of the reason and absolute truth."* In responsive position, the student therefore actively appropriates these "other's words", adds to such words his knowledge and his experiences, converting them into "own other people's word", to a new mean then appear, "my word" (BAKHTIN, 1979/2003). In the answers, his own words appear as an example on the question c): *" He learned that, in life, there are people that look just like an empty wagon, because they are rude, speak too much and are impolite.",* which already presents some creative character, showing a replica expressed in the dialogue.

After working with textual, inferential and interpretative responses, the teacher posed the last question: *"Based on the information given in the previous answers, write your understanding of the text"*. He explained to the students that in order to answer it, it would be necessary to *"... get the information that you have already written* […] *then on the exercise f) you will only gather the preceding information* […] *these are things you have already written* […] *you will now join these information and will assemble a new text... but with the information you already have* […] *I will not invent anything ... I'll just gather the information... ".* In order to make students understand the purpose of this question, the teacher presented the following example: *"If I get the response from exercise f) and go out in the hallway ... find a person and read the answer to her/him ... that person has to be able to understand the text".* We note that the explanation and the teacher's exemplification follow the methodology advocated by Menegassi (2010c, 2011), the subject of discussion in collaborative action, which guides the work with the "final response" (RODRIGUES, 2013, p.165), in which the information presented in previous answers are brought together in only one answer. We note, however, that the question is not clear about this claim, by requesting that the student write what he understood about the text, based on previous answers. As the question was not formulated correctly, the teacher had to repeat the explanations about what had to be done in the response a few times, as well as individually guide students in production.

We take as theme of the discussions the answer given by the student A27, as a representative sample:

Previous answers:

a) *Father and son were walking through the woods and heard the sound of a wagon.*

b) *The father reached the conclusion that the wagon was empty because it was making a lot of noise.*

c) *He learned that, in life, there are people that look just like an empty wagon, because they are rude, speak too much and are impolite.*

d) *It can have flaws, no love, no kindness and with lies, be rude and bad.*

e) *To not be compared to an empty wagon, we have to be kind, loving, fond and not offend friends*

Based on the information given in the previous answers, write your understanding of the text.

The father and the son were walking and they heard a noise of a wagon. The father concluded that the wagon was empty because it was very noisy. **The son** *learned that in life there are people who look like an empty wagon, because they are rude, speak too much and are impolite.* **The son compared the wagon with a person who has no love, lies and offends friends.** *In order not* **to be** *like an empty wagon,* **we have** *to be kind, ~~loving~~, fond and not offend friends.*

We verify that the student follows the teacher's explanations for the production of the final response, and so he takes every conferred answers to interpretation questions and from the juxtaposition, sorts them into a new text. So the final answer shows the initial statement extracted from the text: *"The father and the son were walking and they heard a noise of a wagon. The father concluded that the wagon was empty because it was very noisy.";* the explanation of this statement: *"The son learned that an empty wagon is like an empty person. The empty person is too noisy, talks too much and interrupts"* and exemplification of this explanation from the reader's personal life elements: *"In order not to be like an empty wagon, I have to be a good person, learn to listen and no to be rude".* To make a meaningful whole, the student needed to apply some linguistic adjustments: explain the first sentence subject from the third clause, rearrange the third clause to clarify the comparison brought by the text, mark his position with the use of the first plural person ("we are"; "we have"), eliminate words that express the same idea ("loving"), what evidences a reader that is in the process of building his reading and writing autonomy.

We believe that this structure crafted by the teacher became quite effective in the context of SAALP as it breaks with the fragmented work of reading and production responses in the classroom, in which the student is called to answer several questions, not always realizing the relationship between them and unable to reconstruct in it "the thought organization performed during the reading" (RODRIGUES, 2013, p. 63).

We found that some students disregarded the teacher's explanations and guidance and paid attention to the command only: "Based on the information given in the previous answers, write your understanding of the text.". Answers that only explain what the student understood about the text then emerged. For example: *"I understood that an empty person has nothing of a good person, and because of that one has to give love*

and also the more bad things one does, the more this person is a sinner and one will also be sad and lonely" (L23).

So besides guiding students individually and collectively, one must offer an appropriate command to produce the final response. We consider that the question suggested by Menegassi (2010c, 2011), "What is the text about?", is more appropriated for this work methodology.

Comparative results and final considerations

In order to make a better comparison between the teaching work with previous replies to collaborative action, without any interference from the theoretical or methodological research, and the work after collaborative actions, with theoretical and methodological support regarding the processes of reading and text production, we developed a comparative chart, from which we can visualize the progress made and the persisting gaps in working with the answers in SAALP.

Chart 3 – Comparative results

Planning
a) Before the collaborative actions:
– discussions led by the teacher are not linked to the content of the text;
– it is asked only to read aloud; there is no shared reading;
– the meanings constructed by students from reading are not explored;
– the oral questions require a single answer, which should be brief;
– the questions offered to the answers production are replications of questions asked in the oral discussion of the text;
– only interpretative questions are offered;
– the questions are directed to the teacher's intended interpretation
– the stages of the reading process are disregarded;
– no specific guidance on the textual genre regarding thematic content aspects, style and compositional construction are developed;
– a basic assumption of critical reading is ignored: the interaction with the text.
b) After the collaborative actions
– predictions about the text are stimulated; relations between the pre-reading and reading are established; however, the questions asked are not centered in the central ideas of the text;
– a silent reading is requested; the guided reading is carried out, emphasizing the meanings of lexical items of the text;
– no oral questions to verify the meanings constructed by the students are not performed; there is only one teacher's explanation;
– the teacher has difficulties to work and encourage counterwords by the student;
– textual, inferential and interpretative response questions are provided;
– the stages of the reading process are considered for the questions formulation;
– the student is guided regarding the modality of the offered questions;
– the student is guided concerning the compositional construction, requesting from him the complete answer.

IMPLEMENTATION
a) Before the collaborative action
– students are not given guidance in order to perform the production of answers.
b) After the collaborative actions
– guidance and intervention in the implementation of complete textual responses;
– assistance to students understand the statement and select the information in the inferential and interpretative responses;
– there is little emphasis on textual information, which led to difficulties in implementing the inferential and interpretative responses;
– the necessary order of the questions is disregarded when guiding students.

REVIEW
a) Before the collaborative action
It does not happen.
b) After the collaborative actions
– it occurs during and after the implementation of the responses;
– it is made from the teacher's perspective;
– different types of answers provide different points of view in the review process: in the textual responses the review shows the compositional structure of the genre; in the inferential and interpretative it shows the textual content;
– the teacher draws attention to the problem in production;
– the student is proposed to change his/her text;
– the student is guided to use linguistic-discursive operations of the rewriting process, prioritizing the addition and replacement.

REWRITING
a) Before the collaborative action
It does not occur.
b) After the collaborative actions
– it arises from the changes suggested in the review stage;
– the adding operation in rewriting implies further review;
– there is some time for making the answers public.

Source: Organized by researcher.

We see that some progress was made in the teacher's conduction in dealing with the responses production process. There was closer relationship between the text and the student, fostered by the questions in the pre-reading phase, guided reading and the questions offered for the production of written responses. Thus, the reading after the collaborative actions was presented as a process of interaction between text and reader, unlike the practice before the collaborative actions, in which reading was seen only as decoding letters into sounds and a means of making the learner busy.

The procedures concerning working with Responses show the steps of textual production process - planning, implementation/execution, review and rewriting (Menegassi, 2010d), unlike the practice before the collaborative actions when some steps, though conceptually inherent to the process of production, were neglected.

From the work developed so far, some guidelines that are to be given for the conduction of textual production process of responses in SAALP could be delimited,

starting from the assumption that the processes of reading and writing cannot be separated in the genre approach in classroom:

a) cause, in pre-reading step, student's participation from the beginning of the process, emphasizing the main ideas of the text and thus enable the learner's information progression and the production of answers, after reading the text;
b) establish relationships between pre-reading activities and reading;
c) ask the students silent reading, before reading aloud;
d) stimulate student's reflective participation through shared reading practice;
e) provide discussions about the text content after reading;
f) lead students in the production of textual, inferential and interpretative answers through the questions linking them to the steps of the reading process;
g) work with textual answers to the questions throughout the reading process and not related to the beginning of the text only;
h) raise and discuss textual information with students, to enable them to have a deeper dialogue with the text and more active replicas;
i) when working with inferential answers, pay attention to the questions related to the pre-reading stage - the information location stage, as well as to the aid provided to the student during the reading process;
j) request the production of complete responses;
k) assist students on how to structure the answers in the process of answers production;
l) provide the revision and rewriting of the answers;
m) provide time for the dissemination of responses among students.

The analysis results point to the necessity of providing theoretical basis and methodological guidance to the SAALP teachers, when working with reading and writing, as well as provide monitoring and guidance to their practice in that particular teaching context, offering them a basis for rethinking the choices and their meaning concerning the proposed goals and objectives and student learning.

ANGELO, C.; MENEGASSI, R. A produção escrita e o trabalho docente na sala de apoio. **Alfa**, São Paulo, v.60, n.3, p.483-512, 2016.

■ *RESUMO: Neste texto, aborda-se o processo de produção escrita do gênero textual Resposta na prática docente junto a alunos de Sala de Apoio à Aprendizagem de Língua Portuguesa (SAALP) – 6° ano do Ensino Fundamental, na região Centro-Sul do Estado do Paraná - Brasil. Fundamentando-se nos conceitos do Círculo de Bakhtin e nas contribuições da Linguística Aplicada, a respeito de leitura e produção escrita, buscou-se acompanhar e analisar a prática de um professor nesse contexto. A coleta de dados deu-se anterior e posteriormente a intervenções teórico-metodológicas de modo colaborativas*

com o docente, propiciando-lhe aportes teóricos e discussões orientadas a respeito dos processos de leitura e de escrita e suas implicações no ensino e na aprendizagem de língua materna. Os resultados apontam a necessidade de se fornecer ao professor de SAALP subsídios teórico-metodológicos a respeito dos processos envolvidos, bem como acompanhar e orientar a sua prática pedagógica no trabalho com a Resposta nesse contexto específico de ensino.

- *PALAVRAS-CHAVE: Resposta escrita. Sala de Apoio à Aprendizagem. Formação docente continuada.*

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AUTHORSHIP, *APPARATUS* AND ETHICS: THE LIMITS OF *UNSUBJECTIVATION* IN WRITING

Atilio BUTTURI JUNIOR *

- ABSTRACT: This paper aims to offer a new reading of the notion of authorship in Michel Foucault, defined and discussed from three fundamental texts: *The Archaeology of Knowledge*, *What is an author?* and *The Discourse Order*. The hypothesis is that authorship can be read as an *apparatus* and, from this perspective, it may be questioned from the concept of resistance and ethical concern the so-called "final Foucault". To defend this hypothesis, we resort to the first *apparatus* concept description and the concept of authorship in *archaegenealogy* and according to some commentators. Then draws up an argument between the *apparatus* of authorship and the possibilities of resistance and subjective creation, present in concepts like *epimeleia heautou*, criticism or *unsubjectivation*. Finally, it is suggested that the authorship can be read since after the politics order of a policy and a fight between the subject and *apparatus*.

- KEYWORDS: Authorship. *Apparatus*. *Archagenealogy*. Michel Foucault.

Introduction

"What is authoring?" Here's a question that, at least since the last half of the twentieth century, has marked both the fields of language studies (in particular) and the said "humanities" and philosophy. Since the vaunted death of the author, engendered by the hexagonal scripture of the 1960s and 1970s, until the politicization of the authorship's role in contemporary theories, the relationship between the *apparatus of authorship* and the development of somewhat free, creative forms of a person to write and apply as an author still arises as a problematization about which questions of various orders are made.

In this text, I intend to reactivate Foucault's problematization of authorship by following some ethical premises suggested by the French author in his recent texts (FOUCAULT, 2006, 2009c, 2010, 2011, 2013a). The hypothesis to be defended is that there is, between the appearance of the author's concern – being it as an author function or as a procedure of discursive ordering (FOUCAULT, 2015, 2012, 2002) - and the

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displacement of *archeogenealogy* towards ethics, a dystopia produced in Foucault's discourse, with an importance lying in envisioning an authoring procedure that, less than a codified function of the apparatus, would strategically work by shifting the subjective possibilities, in accordance with freer, more critical forms.

In other words, beyond the descriptions of the author function in the *archeogenealogy* discussion, this article aims to observe the so-called "last Foucault" and the possibility of the ethical production of the self to shed new light on questioning authorship, in the sense of thinking it in accordance to a "limit-experience" or an "écriture de soi". Authoring, in a last measure, could be understood as a *unsubjectivity* and resistance procedure and, in this sense, a construction of displacements of the *apparatus* themselves - contrary to the hypothesis centered, up until the 1970s, in the circumscription and censorship of a legal power (that Foucault himself, as we shall see, denied).

For this, the text begins with the presentation of the concept of *apparatus* based in its Foucaultian meaning and in the readings it receives. From there, we refer to a general review of the author's concept of the itinerary (function, procedure, anthropological category) in *archeogenealogy*, to finally assume the hypothesis suggested by Roger Chartier, who says that authorship could configure an *apparatus* – the *apparatus of authorship*[1]. At the end of this paper, we establish a confrontation between Foucault's own writing experience and his *epimeleia heautou* and Kantian critic's problematization on one side, and the circumscription that Foucault's best-known discussion about authorship demands, on the other. In this case, we defend the thesis, along with Judith Butler (2015), that it is in the model of writing and freedom the archeogenealogist wishes for himself that a new authoring way would reside, strategic and unsubjectivated.

The *apparatus*, the subject and the resistance

The concept of *apparatus* has been used by Michel Foucault on several occasions during the period known as "analytical power" (MACHADO, 2009; DREYFUS, RABINOW, 1995). Although one of the chapters of *The Will to Knowledge* carries the title of *dispositif* (*apparatus*) – in the original French version, *Le Dispositif de Sexualité* (FOUCAULT, 1980) -, it was in an interview for the *International Psychoanalytical Association*, in 1977, that he talked about the concept:

> What I'm trying to single out with this term is, first and foremost, a thoroughly heterogeneous set consisting of discourses, institutions, architectural forms, regulatory decisions, laws, administrative measures, scientific statements, philosophical, moral, and philanthropic

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[1]   In this text, I use the translation of *dispositif*, from the French original, used in the English version of the text Agamben's text – *apparatus*. The translator indicates (AGAMBEN, 2009, p.66): "We follow here the common English translation of Foucault's term *dispositif* as *apparatus*. In everyday use, the French word can designate any sort of device. Agamben points out that the torture machine from Kafka's *In the Penal Colony* is called an *Apparat*".

propositions-in short, the said as much as the unsaid. Such are the elements of the apparatus. The apparatus itself is the network that can be established between these elements.

[…] by the term "apparatus" I mean a kind of a formation, so to speak, that at a given historical moment has as its major function the response to an urgency. The apparatus, therefore, has a dominant strategic function.

[…] I said that the nature of an apparatus is essentially strategic, which means that we are speaking about a certain manipulation of relations of forces, of a rational and concrete intervention in the relations of forces, either so as to develop them in a particular direction, or to block them, to stabilize them, and to utilize them. The apparatus is thus always inscribed into a play of power, but it is also always linked to certain limits of knowledge that arise from it and, to an equal degree condition it.

The apparatus is precisely this: a set of strategies of the relations of forces supporting, and supported by, certain types of knowledge. (FOUCAULT, 1980, p.195).

Foucault (2009a) claims that the constitution of the *apparatus* is based on two processes: "functional overdetermination", related to the dissipation of its elements and to the other apparatuses; and the "strategic fill", known as the plastic mechanism for *apparatus*' reutilization from new historical urgencies.

An *apparatus* would be a complex and relational network composed of a field of visibilities, which allows the emergence of objects seen in accordance with specific criteria; a field of enunciations, which stratify the visible in possible schemes of speech; and a field of power lines, related to the power-knowledge and to the strategies and urgencies to those it replies to (DELEUZE, 1990). In an *apparatus* happens what Foucault (2012) suggested about the "discursive formations" and their formation rules (formation of objects, concepts, strategies). As pointed out by Deleuze in his reading of the Foucaultian *apparatus,* an *apparatus* would still be responsible for the formation of two lines properly strained and related: the line of objectification, producing a will for truth and subjects; and the line of subjectivity, resisting and recreating new lines, other *apparatuses* and more (or less, within the limit) creative forms of being a self (DELEUZE, 1990).

What draws attention in the concept of *apparatus* is the centrality that the concept gives to the production of the triad power-knowledge-subject in the route of *archeogenealogy*. This is the same that saying belonging to the *apparatus* is the condition of the action and the possibility of displacement from the ground in which we produce ourselves, and the possibility of any production itself – somewhat free. The *apparatus* concerns the politics rather than matters involving ideology or the State – indeed, it is a kind of response to Althusser (1980). Foucault (2009a) had already stated

that the *apparatus* adopted two rules contrary to a theory of central power and to any "last resort" dependency to the economic infrastructure. With that he states that there are distributions and allocations of knowledge moving continuously and at various levels ("Continuous variations rule") and that there is a double conditioning between global strategies and local tactics on an *apparatus* ("Double conditioning rule").

Thus an *apparatus* does not run the same way an *apparatus of state* does (ALTHUSSER, 1980), merely because the power theory sustaining its theoretical and practical existence is of another order. In Foucault, the king's head was cut off and in its place, a problematic of power that works according to force vectors in a network of microphysical and interchangeable relations has been established, capable of engendering difference, displacement, and other multiplicities. In this case, the kingdom belongs to micro-politics, and the *apparatus* is, therefore, the operational concept required by this political anatomy of power: "It is somehow a microphysics of power brought into play by the *apparatus* and institutions, but whose field validity stands somehow between those big runs and bodies themselves, with their materiality and their forces."[2](FOUCAULT, 2013b, p.29).

As Foucault states in *Discipline and Punish* (FOUCAULT, 2013b), the power with which *archeogenealogy* operates cannot be defined by the property order, but by mobile tactics and strategies that go through subjects, groups, machinery. Furthermore, power is not subsumed by repression or prohibition but presents itself as a constant investment, of contrary or similar vectors. Foucault (2013b, p.30) suggests that renouncement "[...] to the violence-ideology opposition, to the metaphor of property, to the model of contract and conquest; [...]"[3] is necessary. His thesis is that there is a "political anatomy", at the same time that power passes through the body itself, sometimes gently, sometimes stubbornly.

The dependency between a microphysical theory of power and the concept of *apparatus* is exemplary discussed by Giorgio Agamben. For the Italian philosopher, "apparatus" corresponds to a technical term essential to the Foucaultian thinking, despite the absence of a precise theoretical characterization. Agamben (2014) notices precisely the relationship between the *apparatuses* and the living, as pointed out by Foucault. For this, the Italian appeals for a brief genealogy of the term. At first, he shows the mark of the metaphysics fracture in the concept of *oikonomia* between the Church's second and sixth centuries. The "*oikos* administration" requires a separation built into the Trinity: as God is the ontological plane, Christ figure as one who rules, which manages. Schizophrenia is armed in such separation, as this Christian *oikonomia* requires an incorporate separation in the Trinity: while God belongs to the ontological plan, Christ appears as the one who governs, who manages. Schizophrenia is armed in such

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2   The original, in Portuguese: "Trata-se de alguma maneira de uma microfísica do poder posta em jogo pelos aparelhos e instituições, mas cujo campo de validade se coloca de algum modo entre esses grandes funcionamentos e os póprios corpos com sua materialidade e suas forças".

3   The original, in Portuguese: "[...] à oposição violência-ideologia, à metáfora da propriedade, ao modelo do contrato e da conquista; [...]".

distinction since this Christian *oikonomia* requires a distinction between the political action (the image of Christ), and the Being (God, who is not stopped by praxis issues).

It is from this "theological heritage" (AGAMBEN, 2014, p. 36) that the concept in Foucault arises from an activity of pure constitution of subjects unrelated to the Being. The Italian approximates the *apparatus* etymology ("dis-ponere") of what Heidegger defined as *Gestell*: a way of revealing the real to mankind. In "The Question Concerning Technology", Heidegger (2007) states that the essence of modern technology is nothing technical, but the possibility of calculation and world's arrangement of the living in relation to the factuality condition: "The essence of technology rests on the framework" (HEIDEGGER, 2007, p.387), construed as an always-now condition of existence of the living. However, in the *Gestell* philosophy, it was about two fundamental questions, similar, but not identical: have the world as being in the world (what Heidegger will call *Dasein*) is participating in the technical world in its positivity; however, the way in which the current technique exists (in the twentieth century) is the calculation of the world and the metaphysics – therefore negative and dangerous.

Agamben (2014, p.37) notes the strict relationship between this series of discourses about the mankind and the world. Similarly, the Christian *oikonomia*, the *Gestell*, and the *apparatus* reveal "[…] a set of practices, bodies of knowledge, measures, and institutions that aim to manage, govern, control, and orient-in a way that purports to be useful-the behaviors, gestures, and thoughts of human beings." From this approach, the author starts making some distinctions regarding the Foucaultian *apparatus*.

At this point, Agamben's text points out that from the relationship between the *apparatus* and the bodies a third element arises: the subject. In the contemporary world, given the multiplicity of *apparatuses*, the subjectivity category necessarily has to lose its strength, as there are many "subjectivity processes" (AGAMBEN, 2014, p.40). The contemporary "framework" requires the loss of a subjective consistency and, within the limits, of the questioning of consistency that this subjectivity owned up to now, for what, via Foucault, we have learned to call anthropological or conscientious philosophies.

So what is the point of Agamben's re-conceptualization of *apparatus*? Firstly, the belief that "hominization" is a production process of mediations between the living and the world in the form of *apparatus*. The matter is, we could say, post-Foucaultian, simply because the *apparatuses* would not only be marking just a Western world model (usually outlined from Christianity and consolidated in its organization in the eighteenth and nineteenth centuries), but would also be the demanding and unavoidable power of the "living x world" mediation, working as subjectivity machines that can be transformed, dislodged, and recreated. In this case, also multiplied in many different forms - from cellular phones to television remote controls, going beyond the "traditional" *apparatuses* of the Foucaultian power-knowledge, as sexuality.

However, the capture of *apparatuses*, responsible for forms of subjectivity in the modern and contemporary worlds, as taught by Michel Foucault, brings in itself the implication of danger, since these *apparatuses* are not subjected to "profanity." Everything would, according to Agamben (2014), pass as a "political eclipse" and

of the government's autonomy of docile bodies, since the myriad of the available *apparatuses* would have become, all at one time, the too-fragile subjectivity processes and the ever-totalizing governmental capabilities – which the Italian approximates from "catastrophe."

An urgency is now stated by Agamben (2014, p.51): "the profanation of the *apparatuses*", responsible for a dis-government that intervenes in the subjectivity processes. This urgency, as we know, is somewhat an implication of the "last Foucault" ethics, reinterpreted by Agamben. In 1982, after a discussion with Rabinow and Dreyfus, Michel Foucault pointed out that there were three types of struggles: "either against forms of domination (ethic, social, and religious); against forms of exploitation which separate individuals from what they produce; or against that which ties the individual to himself and submits him to others in this way (struggles against subjection, against forms of subjectivity and submission)" (FOUCAULT, 2014a, p. 123). It is about the management of our "self" by the *apparatuses* that the Foucaultian question arises: "who are we?" In other words, politics is taken as "profanity" (an Agamben's concept) of the *apparatuses* and the subjectivities they engender. In Foucault's case, we are talking about a refusal and a creation, the "philosophical task" of nowadays:

> The target nowadays is not to discover what we are but to refuse what we are. And to imagine and build up what we could be in order to rid ourselves of our ongoing subjectivation to the simultaneous individualization and totalization of modern power structures. (FOUCAULT, 2014a, p.128).[4]

Foucault's concern could be characterized as a de-subjectivity enterprise: the inventions of oneself would work as spaces of freedom in the *apparatuses*, rewriting them critically. It is precisely according to an agonistic thought that fights must be fought: "More than an essential 'antagonism', it would be best to talk about an 'agonism' – of a relationship that is, at the same time, mutual incitement and struggle "(FOUCAULT, 2014a, p.134).

In the form of an agonistic, therefore, is how we will see the relationship between the subject and the *apparatus* in this article. The next section aims to observe the general features and strategic operation of the *authoring apparatus*.

Authorship as an *apparatus*

The problem of authorship in discursive studies can be read from the considerations of Michel Foucault. In *archeogenealogy* there are three texts that refer directly to the problem: *The Archaeology of Knowledge*, *What is an author?* (both published in 1969),

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4   The original, in Portuguese: "Sem dúvida, o objetivo principal, hoje, não é descobrir, mas recusar o que somos. Devemos imaginar e construir o que poderíamos ser para nos livrarmos dessa espécie de "dupla obrigação" política que são a individualização e a totalização simultânea das estruturas do poder moderno."

and the inaugural lecture at Collège de France, *The Order of Discourse* (originally published in 1970). In these cases, Foucault's reading points out to the necessity of denaturalizing the author as a given or natural entity; to the production of authorship within the regulations and the orders of discourses.

In chapter two of *Archaeology...*, *The regularities of the Discourse*, Foucault (1972, p.24) elaborates a discussion that requires a "negative work" on notions that follow the "continuity" theme – the tradition, the *œuvre*, the book. In this denial, the French questions the possibilities of circumscribing a *œuvre*, and asks:

> [...] does the name of an author designate in the same way a text that he has published under his name, a text that he has presented under a pseudonym, another found after his death in the form of an unfinished draft, and another that is merely a collection of jottings, a notebook? (FOUCAULT, 1972, p. 24).

It is, therefore, in the matter of the *œuvre* as a subject's total production, which works as a denotation. Foucault's text states that the reason why we the certainty of the *œuvre* in the existence of an author is the assumption of an individual expression to be preserved, commented, questioned – the "reality" order. The circularity Foucault proposes is about the "expressive function" that a *œuvre* always results in something. However, how are we supposed to ensure the unity between Nietzsche's name and his autobiographical fragments, in his philosophical texts, or in the postcards he signs as "Dionysos" or "Kaiser Nietzsche"?

Against the continuity forms, what is opened is the vast domain of discourse, anarchistic events described through an archeology that operates in accordance to anti-humanism. Instead of the origin and the expression of an individual, the statements and the game of their relationships woven into the filigree, "[...] that neither language nor sense could entirely exhaust."[5] (FOUCAULT, 2012, p.35).

The author will have more detailed analysis yet in 1969, at the conference - followed by a debate - held in the French Psychoanalytical Society and soon after published in *Bulletin de la Société Française de Philosophie*. The text gained notoriety with the title *What is an author?*, and is both a project and a rectification. A project because Foucault immediately points out that he gives the issue only a glimpse. A rectification and *mea culpa* because, *contre lui même*, the author had used – and will remain to do so – the "name of the author" exactly in the book that supposed the "death of the subject", *The Order of Things* (FOUCAULT, 2000).

What he examines, then, is the scripture, in accordance to the collapse of the expression. There is a releasing of the subjective expression's theme, since the text is a game of the precedent significant, a requirement for taking the word; besides, the scripture sanctions the relationship between the mark and the death because, unlike

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5 The original, in Portuguese: "[...] que nem a língua nem o sentido podem esgotar inteiramente."

writing in antiquity, the problem is sacrifice, it is the deletion of the subject in the name of the text and its game.

The problematic is certainly recovered from Barthes (1968), for whom the figure of the author is the key to modern scripture, which requests an identity and a confession of legitimacy about the text. Notwithstanding the tyranny of this Author, spelled in upper case, the sacrifice was also marked in modernity, via Mallarmé, Flaubert, Proust or Brecht. The inversion towards textuality requires the end of decrypting, and of the author's and reader's stable positions:

> We know now that a text is not a line of words releasing a single 'theological' meaning (the 'message' of the Author-God) but a multi-dimensional space in which a variety of writings, none of them original, blend and clash. The text is a tissue of quotations drawn from the innumerable centres of culture. [...] (BARTHES, 1997, p.146).

Just like Barthes (1988), it is precisely the theme of the scripture that "[...] when rigorously applied, […] should allow us not only to circumvent references to the author but also to situate his recent absence" (FOUCAULT, 1977, p.27). The "transcendental lock" operated by Mallarmé and Beckett, for example, indicates the end of a presence. Despite the strength of this disappearance, the reading proposal of the author's function goes beyond: "[...] it is not enough to declare that we should do without the writer (the author) and study the work itself" (FOUCAULT, 1969, p. 3). What recovers it is the game of forces, tactics, and strategies that this function occupies beyond text and language – at a discursive level.

In this game, what matters is the specific relationship that the author has with the proper name. The proper name has no functioning, but it guarantees homogeneity, authentication, a coherent explanation of the whole of a *œuvre*. Furthermore, the name ensures a differential status within the culture, since "[…] it is about a word that must be received in a certain way […]" (FOUCAULT, 2015, p. 278). Thus, the name of the author does not respond to the possible reality of a proper name and of its referent. The pointing relationship is of a different order, not the one of civil status: in the "rupture of discourses" which carries, differentially and in accordance to marked strategies, the author's function: "the author function is, therefore, characteristic of the mode of existence, circulation, and functioning of certain discourses within a society" (FOUCAULT, 1969, p.6).

The *author function* is, therefore, a typically Western discourse, with four distinct characteristics: 1. It is a form of property related to texts, which started between the eighteenth and the nineteenth centuries, that guarantees the ownership and also the punishment of the author for his transgression (the author and censorship are, as we see, coexistent figures); 2. It is exercised differentially, as per discourses – in this sense, it deflates (in a "chiasmus") the author-function in the physical-mathematical, and becomes a fundamental requirement in the field of literature; 3. It is a complex

operation that makes the attribution of authoring an individual, even when what exists is a "[...] plurality of ego [...]" (FOUCAULT, 2015), a dispersion of the subject that the author-function aims to organize; and 4. Finally, the authorship is a reconstruction of the "inert material" from the significant - personal pronouns and deictic system – pointing outwards. The four characteristics are summarized as follows:

> [...] the "author-function" is tied to the legal and institutional systems that circumscribe, determine, and articulate the realm of discourses; it does not operate in a uniform manner in all discourses, at all times, and in any given culture; it is not defined by the spontaneous attribution of a text to its creator, but through a series of precise and complex procedures; it does not refer, purely and simply, to an actual individual insofar as it simultaneously gives rise to a variety of egos and to a series of subjective positions that individuals of any class may come to occupy. [...] (FOUCAULT, 1980, p.125).

The *author function* takes place only in a culture where the individual and his freedom are erected as supreme values. The author, in this case, "[...] is undoubtedly only one of the possible specifications of the subject" (FOUCAULT, 1980, p. 127). It is about reversing the matter, replacing the subject's freedom and expression the conditions which enabled a process that allows the subject, in his dispersion. In another version of the same conference, held at Buffalo University in 1970, the anthropological position supporting the authorship thesis (related to *œuvre* and origin) is mentioned:

> [...] the author is not an indefinite source of significations that fill a work; the author does not precede the works; he is a certain functional principle by which, in our culture, one limits, excludes, and chooses; in short, by which one impedes the free circulation, the free manipulation, the free composition, decomposition, and recomposition of fiction. In fact, if we are accustomed to presenting the author as a genius, as a perpetual surging of invention, it is because, in reality, we make him function in exactly the opposite fashion. One can say that the author is an ideological product, since we represent him as the opposite of his historically real function. When a historically given function is represented in a figure that inserts it, one has an ideological production. The author is therefore the ideological figure by which one marks the manner in which we fear the proliferation of meaning. (FOUCAULT, 1980, p. 129).

Behold, the author is only one of the ways of understanding the end of romanticism of discourses and unlimited senses, of which the *event-censorship* is "[...] a restriction of cancer proliferation." Using Marx, Foucault says that the author function plays

a regulatory role after the eighteenth century, industrial and bourgeois, based on individualism and private property.

The resumption of the authorship problem and its circumscriptions happens in 1970, during the inaugural lecture at *Collège de France.* In the occasion, the defense of the working hypothesis appears, saying that in every society there is a series of mechanisms that control, select, organize and distribute the production of discourses, and that intend to conjure their dangers (this is the so-called "*logophobic*" hypothesis, that will be defended for now), and their character of event (FOUCAULT, 2002).

Didactically, it is possible to distinct those mechanisms in three different groups: *the external procedures*, three major "exclusion systems" (FOUCAULT, 2002, p.19), related to the game between power, desire and censorship, which are part of the prohibition, the separation between reason and madness, and the will to truth - the latter with an institutional support and knowledge economy; *the internal procedures,* with the function of, within the same discourses, building the submission of chance through commentary, author and discipline (the "policy of truth"). The third group makes *rarefied those who can speak*: the ritual, the discourse societies, the doctrines, the systems of social appropriation of discourse (pedagogical *apparatuses* are highlighted) limit the entrance of the order of discourse, sometimes demanding status legitimacy, sometimes sharing a secret.

Before discussing authorship, the subject of this paper, it is important to talk about the criticism that Foucault (2002, p.46) performs against three central themes of modern philosophy. The first one, "[...] the founding subject [...]", keeper of senses, and the assurance of the explicitness of things beyond history and discourse. The second, related to the subject, is the "original experience", a kind of a primitive recognition for any subject that can listen (FOUCAULT, 2002, p.47). And finally the third theme, the "universal mediation", which would allow the discourse to reverberate in direct transparency – and accessible to the universal subject as the foundation – the secret truth of things.

Against this significant theory, of our very respectful civilization in relation to discourse, Foucault aims to restore the thickness of statements by questioning the subject's "will to truth", unseating the origin issue, and demanding the appeal to the series and to the events and, with that, breaking with "[...] the sovereignty of the signifier." (FOUCAULT, 2002, p. 51).

What does this critique to the philosophical anthropology, recovered from *The Order of Things*, establishes regarding authorship? The necessity of an inversion. Thus, against continuity and the positive role of a founding subject of the text, the author states that "[...] we must rather recognize a negative game of a cutting-up and a rarefaction of discourse." (FOUCAULT, 1984, p.52). It is, therefore, only from the perspective of an inversion of anthropology and of its central figures that it is possible to suggest there is an *author function* delineated as a procedure.

Now we return to some previous pages to contemplate authorship as a discourse procedure. The rarity of its condition is the key to Foucault's interpretation. If the

author is a principle of text grouping, "[...] as unit and origin of its meanings, as the focus of its coherence"[6] (FOUCAULT, 2002, p. 27), then there are many discourses not necessarily demanding an author – it is the case of conversations, recipes, and others. However, there are domains that require the presence of the author, such as literature, philosophy, and science. We can observe, however, that the authorship in the scientific discourse from the seventeenth century would be weakened, and the author function in the literary discourse would be strengthened – a difference already mentioned in *What is an author*?

Foucault's key point is how the author works controlling the proliferation of language, giving the statements a project and coherence linked to the creative consciousness of a unique subject: "The author is the one who gives to the disquieting language of fiction its units, its coherence knots, its inclusion in what is real"[7](FOUCAULT, 2001, p.27).

We can call the authorship problematization mentioned by Foucault in the three aforementioned texts an *authoring apparatus*, as does Chartier (2014, p.29): "[...] as one of these *apparatus* that, according to him, should ensure this rarefaction of a proliferating significance"[8]. Chartier, however, indicates the "should" or the "how" as the marks of a difference – something that makes sometimes, with a similar operation. Here, however, we move forward and suggest that authorship is, in itself, an *apparatus*, but as Agamben (2014) stated: one of the games and machinery which compulsory work as mediators between the world and the living. From this perspective, the *apparatus of authorship* can, of course, produce forms of subjectivity. Returning to Foucault and to the author function, with an *apparatus* we could envision several effects related to the subject.

Let us make a historical parenthesis in order to remount the irruption of an *apparatus of authorship*. Chartier (2014) resumes Foucault's arguments (exactly 30 years later, at the same *French Psychoanalytical Society*) to claim the revision of the "vague timeline" only suggested by the archaeologist. Chartier (2014) shows – through contemporary historiography – that it was in 1709 that, in England, the publication of texts was altered by the parliament: it was allowed, via copyright, that the authors became their own editors, and had the right to property guaranteed (for 14 years, supplemented with other 14).

In this review of Foucault's chronology, Chartier also points out that the relation between dematerialization and creativity was already a problem in Ben Johnson's play and in Milton's editions of *Lost Paradise*. Moreover, even before printing, the fourteenth and fifteenth centuries have testified, with the first authors in the vernacular languages, the unity among book, *œuvre*, and the author's name (CHARTIER, 2014, p.61). It is, therefore, in what Chartier calls the "order of the books" that we must review Foucault's genealogy. Despite the notation that, during the Middle Age and the Renaissance,

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[6]   The original, in Portuguese: "[...] como unidade e origem de suas significações, como foco de sua coerência"

[7]   The original, in Portuguese: "O autor é aquele que dá à inquietante linguagem da ficção suas unidades, seus nós de coerência, sua inserção no real".

[8]   The original, in Portuguese: "[...] como um desses dispositivos que, segundo ele, deviam assegurar esta rarefação de uma significação proliferante".

many texts circulated anonymously, it was also during this time that, in discourses of what we could call science – again, contrary to Foucault's "chiasmus" that says there would be a decrease of scientific authorship – that they authenticated the experience by a presence: the proper name, the subject who became an author.

Let us now describe, in general terms and as a working hypothesis, the *apparatus of authorship*. First, we need to understand its irruption, with Chartier (2014, 2002), according to the materiality of the order of the books that concatenate to the order of discourses during a period recognized in many of Foucault's texts, such as the Classical Period (FOUCAULT, 2000). Then, we delineate the strategies that produce an *apparatus of authorship*, typical of some Western discourses: those related to forms of being a subject, knowledge-power, and machinery, with the main function of circumscribing the senses, and establishing a writing regulated by property and by the appeal to the creative subjectivity, origin of the texts around the world.

The debate is, as we can see, dear in terms of *archeogenealogy*. The *apparatus of authorship* as defended here does not resort to fictions of a repressive power, and censors the subjects according to the order of prohibitions or urgings of speak (even though the author's name can work as a kind of censorship, a mark to be silenced, as Chartier sometimes suggests). On the contrary, the understanding of this *apparatus* assumes the productivity of power, microphysical and corporal. Because of that is that authorship, when demanding the dematerialization of the *œuvre* on behalf of the external subject, source of the sense and strength of its coherence, can be seen as part of a diffuse power, of ubiquitous technologies, which brings into play different fields and requires several investments of individuals and their bodies into subjects – authors, responsible for the docile sayings, but that can release "[...] innumerable points of confrontation, focuses of instability each of which has its own risks of conflict, of struggles, and of at least temporary inversion of the power relations"[9] (FOUCAULT, 2013b, p.30).

Focuses of instability, then, this *apparatus of authorship* holds the possibilities of a constant plastic displacement – as Deleuze (1990) asserts, demanding the transformation of the *apparatuses* into new *apparatuses* – regarding the resistances (already presented) in Foucault's discussions, and recovered in the concept of profanation, described in the previous section and defended by Agamben (2014).

Thus, as resistance, displacement, and profanation, it is possible to imagine a tactical relocation for the concept of authorship. If in the 1969 and the 1970 texts the author function was described as a mechanism of subjection and circumscription, strategic in the logophobic economy of discourses, things are different in 1977, when Michel Foucault himself resorts to criticism. Referring specifically to *The Order of Discourse,* he claims that there was a mistake in the conception of power of that lecture, assumed negatively (FOUCAULT, 2014). Then, as we know and have seen above, power takes microphysical contours (against the model of sovereignty and law), and the repression

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[9]   The original, in Portugues: "[...] inúmeros pontos de luta, focos de instabilidade comportando cada um seus riscos de conflito, de lutas e de inversão pelo menos transitória da relação de forças."

hypothesis is widely disputed. Now, the question here is: how to think about authorship and, as it is the case in this paper, about the displacement of the *apparatus of authorship* according to a vector that points to new relationships between the human being and different *apparatuses*?

The following section is about the rare appearance of this discourse of agonistic freedom, and the Foucaultian criticism and its relationships with the *apparatus of authorship*.

The *apparatus* of authorship and the ethical forms

We now retake the three texts where in which, briefly, Michel Foucault examined the author function in order to list the displacements that the reading demands towards a new understanding of the *apparatus of authorship.*

We start with the preface of *The Archaeology of Knowledge*, in which Foucault (1972, p.17, my emphasis) demands for himself a kind of freedom in writing: "Do not ask who I am and do not ask me to remain the same: leave it to our bureaucrats and our police to see that our papers are in order. At least **spare us their morality when we write.**" The philosopher's relationship with writing is particular, and its appearance is preceded by a laugh to Nietzsche: "[...] no, I'm not where you are lying in wait for me, but over here, laughing at you" (FOUCAULT, 1972, p.18). What kind of freedom is the freedom Foucault is searching for his writing?

At the *Buffalo Conference*, (still with *What is an author?*, 1970), Foucault suggests that there are changes in society and that "[…] the author function will disappear, and in such a manner that fiction and its polysemous texts will once again function according to another mode, but still with a system of constraint – one that will no longer be the author but will have to be determined or, perhaps, experienced [*expérimenter*]."[10] (FOUCAULT, 2015, p.292). About which experiences and about what other determinations does Foucault speak?

Finally, as did Chartier (2002), I cut out the opening words from *The Order of Discourse*:

> I would have liked to slip surreptitiously into the discourses that I am about to give today and into those that I will perhaps give here in years to come. Rather than launching into speech I would have wanted to be enveloped by it, and to be carried far beyond all possible beginnings. At the moment of speech, I would have liked to perceive that a nameless voice had long preceded me.[11] (FOUCAULT, 2002, p.6).

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[10] The original, in Portuguese: "[...] a função autor desaparecerá de uma maneira que permitirá uma vez mais à ficção e aos seus textos polissêmicos funcionar de acordo com um outro modo, [...] mas que fica ainda por determinar e talvez por experimentar".

[11] The original, in Portuguese: "Gostaria de me insinuar sub-repticiamente no discurso que devo pronunciar hoje, e nos que deverei pronunciar aqui, talvez durante anos. Ao invés de tomar a palavra, gostaria de ser envolvido por ela

In this passage, as we can see, the figures of the author's death, the denial of the origin and the *œuvre*, of belonging to scripture, of suspicion, are all being tried out by jumping upon inspection (and ironically, it seems marked). Nevertheless, it draws further attention to the artifice of the one that, contrary to what supposes the order of discourse, makes discourses and takes part in the conduct of the discursive series, manipulating them, moving them, questioning them. What kind of new prerogative is this, which allows Foucault to observe what is "routine and gray" in which that dangerously proliferates?

Fontes Filho (2007) notes that, in Foucault's trajectory, *malgré lui,* the writing and authorship also appear following the order of this "other experience", that catches a glimpse on the aforementioned, dating back to Bataille, Blanchot, Klossowski, and Nietzsche. The French philosopher have often made use of the possibility that his books were "self-exploratory", "limit-experiences". In the same vein, Leme (2012) argues that the matter of limits of reason, denounced since *The History of Madness*, in 1961, through these "limit-experiences" (also adopted by Blanchot and Bataille, Nietzsche and Artaud), and later related to the Christian ministry to the ascetic exercises, set an ever-open space wandering: "[...] a knowledge based on an inner voice, and which is done in disobedience, what is unreason if not that?"[12] (LEME, 2012, p.43).

Returning to the authorship matter, we ask: what is the power of this wandering and this opening, non-identity and resistant, evoked by Foucault when he observes the *apparatus of authorship* according to the author function and resisting to it – in *Archeology*, in *What is an author*?, or in *The Order of Discourse*. A possible answer, the heart of this article's debate, is the turning of the French towards the practices of freedom and government, capable of requesting other forms of subjectivity and, with that, displacing the *apparatus of authorship*.

The following subsections talk about this displacement.

Ethics and criticism

We will now briefly talk about the *quiprocós* on the periodization of Foucault's works and their "phases". It is important to highlight the set of changes that he requires in order not to be caught - as we saw just above. From the perspective of a common theme of research on *archeogenealogy*, in *Subject and Power* Foucault (2014, p.119) takes the subject as "the general theme of my [his] research". However, he also assumes that his investigation takes a turn in the end: "[...] it consists in taking the forms of resistance to different kinds of power as a starting point" (FOUCAULT, 2014, p.121).

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e levado bem além de todo começo possível. Gostaria de perceber que no momento de falar uma voz sem nome me precedia há muito tempo [...]".

12   The original, in Portuguese: "[...] um saber que se funda numa voz interior e que se efetiva na desobediência, o que é a desrazão senão isso?".

The texts of this final stage, which we call – with his commentators – ethical stage, deal with the "aesthetic of existence, [...] our work on ourselves as free beings" (FOUCAULT, 1995, apud DREYFUS; RABINOW, 1995, p.347), with the capacity to overcome the moral codes of the *apparatus* in a "[...] work within the limits of ourselves." Such observation still aims subject and resistance, but now following the path of critical thinking, described in the courses of the 80s at *Collège de France.*

A glimpse over *The Courage of Truth,* an 80s course published in France only in 2009, allows considering that there is a partition in the Western knowledge: on the one hand, the spiritual and forms of *aleturgia*, which relate the subject of saying's truth and ethics; and on the other hand, the epistemological forms, with dominance of the Cartesian moment, and the division between the clear scientific knowledge and the subject (FOUCAULT, 2011, p.4). In proposing the genealogy of *aleturgia*, what the French would like to investigate were "[...] the processes in the history of subjectivity and thought, which led to a "de-spiritualization" of the philosophy. In other words, the positioning of its centrality in knowledge, and not in the cultivation of the self [...]"[13] (GALLO, 2011, p.382).

In these Greco-Latin forms of the subject relating to the truth, Gallo (2011, p.372) points out to a variation between the resistance of *apparatus'* theory and ethics creation, typical of a third phase of Foucault's thought: "One thing is say that the whole exercise of power implies resistance; another, quite different, is to say that the ethics of self-care is the production of freedom practices [...]"[14]. Thus, from this path that goes the appearance of textual resistance in *The Will to Knowledge* (FOUCAULT, 2009b) until the 80s, when the philosopher inflates the role of subjects and strategies of freedom, a series of movements operate in what the French calls a "critical" attitude and an "ontology of the present".

Based on this critical concern of the said phase "ethics", in which subject and knowledge are peremptorily involved, Foucault observes the distinction between *gnothi seauton* ("know thyself") and *epimeleia heaotou* ("take care of yourself") (FOUCAULT, 2011, 2013a, 2006), inverting it in the name of a resistance discourse and an ethical urgency of thinking. Descartes would have been responsible for making a distinction between the two instances (the ethical subject and the truth). What is inferred from the Greco-Latin tradition is the number of subjects in ascetic practices, constant and continuous, the only access to the truth of things, and also the truth of oneself: "[...] its concern [the ancient's], its theme, was to build an ethics that were an aesthetics of the existence" (FOUCAULT, 1995, apud DREYFUS; RABINOW, 1995, p.225). Foucault (2011) notices that the "self-care" discourse opens up to a self-government attitude, distant from the bio-political *apparatuses* and the governmentality's ones- the liberal-bourgeois power's exercise *apparatus*.

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[13] The original, in Portuguese: "[...] quais foram os processos, na história da subjetividade e do pensamento, que levaram a uma "desespiritualização' da filosofia, isto é, à colocação de sua centralidade no conhecimento e não no cultivo de si [...]".

[14] The original, in Portuguese: "Uma coisa é dizer que todo o exercício de poder implica resistência; outra, bastante diferente é dizer que a ética do cuidado de si significa a produção de práticas de liberdade [...]".

It is important to highlight the distinction made by Castelo Branco (2011, p.156): between a bourgeois and liberal governmentality, of exercising a power by disciplinary, bio-political, and safety *apparatuses* and, on the other hand, by the dystopia of a governmentality, "[...] seen as the self-government of free, autonomous individuals." Governance is related to freedom and the caring of oneself, to a possible, creative ethics in *apparatus,* which ultimately move them. Governmentality, on the other hand, is limited to the codification practices of a vector resistance. Between the two, the assumption of a novelty in Foucault's text: "I strongly believe in human freedom" (FOUCAULT, 1994, p.693 apud CASTELO BRANCO, 2011, p.160).

At this point, Foucault revisits the issue of governmentality and investigates the possibilities of, within government arrangements, finding species of self-government, creation, and invention of the *unsubjected* self – assumed here as governability. It is from the perspective of an action and of a re-enrollment of subjects in the *apparatus*, of the writings dating from the late seventies and early eighties, that postulates the reappearance of a subjective analysis, for it is also a two-party item between the code and the creative practices of the self (DELEUZE, 2005; BUTTURI JUNIOR, 2012). In an interview for *Magazine Littéraire*, Foucault (2010, p.244) confirms this distinction:

> I do not believe that there is morality without a number of self-practices. It is possible that these practices of the self are associated to numerous code structures, systematic and coercive. [...] However, it is also possible that they constitute the most important and most active morality focus, and that it is among them that reflection is developed.[15]

The most active focus he refers to marks the work of the subject about oneself. By this subjective bend (DELEUZE, 2005), the French approximates freedom and critics, taken from Kantianism. Both in *What is critical?* (1978) and *What are the lights?* (1984), Foucault (2005, p.5) re-reads the Kantian moment of configuration of a "[...] critical attitude, as a "[...] des-subjugation in the game of what we could call, in one word, of politics of truth". The space of freedom, inscribed in Kant by the expression *Sapere Aude* reveals "[...] certain decision-making will of not being ruled, this decisive willing, attitude at the same time individual and collective, of leaving, as Kant said, the minority."[16] (FOUCAULT, 1978, p.19).

In this reinterpretation of the Kantian model, Foucault argues that the basis for Kant's *Aufklärung* could be re-thought as the exit from minority, through courage of thinking. The proposed relationship is one of problematization before the discourses of

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15 The original, in Portuguese: Não acredito que haja moral sem um certo número de práticas de si. É possível que essas práticas de si estejam associadas a estruturas de código numerosas, sistemáticas e coercitivas. [...] Mas também é possível que constituam o foco mais importante e mais ativo da moral e que seja em torno delas que se desenvolva a reflexão".

16 The original, in Portuguese: "[...] certa vontade decisória de não ser governado, esta vontade decisória, atitude ao mesmo tempo individual e coletiva de sair, como dizia Kant, de sua minoridade."

truth always thought according to the present moment. In this criticism, the resistance character is also seen as the experimentation that the Kantian modernity would bring in its propositions:

> [...] philosophy as the surface of emergence of an actuality, philosophy as the interrogation of the philosophical sense of the present to which it belongs, … it is that… which characterizes philosophy as a discourse of modernity, as a discourse on modernity.[17] (FOUCAULT, 2013a, p.14).

Interrogating the present, however, is not only to resist, *stricto sensu*, in the way of a double power: it is producing a new instance, *unsubjectivated*. In the so-called "the last Foucault", it is pointing to the creative role of subjectivity, its active function in the strategic shifts of the power-knowledge diagrams. This *unsubjectivation* is the center of discussion in our next section.

The *unsubjectivation*

According to Deleuze (2005, p.109), the novelty in *The Use of Pleasure* (FOUCAULT, 2009c), in questioning the practices of the self and subjectivity would be the appearance of "[...] a dimension of the subjectivity that derives from power and knowledge, but that does not depend on them"[18]. Antagonistically, the emergence of the subjective instance is also bipartite. There would be a necessary link between subject and morality, with the imperative of distinguishing between the two intersection "models" between code and forms of subjectivity. On one hand, Foucault assumes the existence of systematic morals, capable of subsuming all forms of behavior, in which subjectivity operates with little freedom – therefore, less resistance. On the other hand, ethically, Foucault safeguards the dynamics of the work on the self, exemplifying with the Greek paradigm (FOUCAULT, 2009c).

As Foucault observes, the reflection of genealogy ultimately monopolizes both the field of moral stories and the field of ethical and constitution of subjects' stories. If, therefore, there was a constitution between power and resistance, precisely because the first created discursive fields which should be dominated and to which he should resist, the position adopted by the "last Foucault" is that there are subjective shifts, inner folds (DELEUZE, 2005), appropriate to the "transversal" character of *apparatuses* and diagrams.

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[17] The original, in Portuguese: [...] a filosofia como superfície de emergência de uma atualidade, a filosofia como interrogação sobre o sentido filosófico da atualidade a que ela pertence, a filosofia como interrogação pelo filósofo desse 'nós' de que ela faz parte e em relação ao qual ela tem de se situar, é isso, me parece, que caracteriza a filosofia como discurso da modernidade."

[18] The original, in Portuguese: "[...] uma dimensão da subjetividade que deriva do poder e do saber, mas que não depende deles".

Retaking the theme of resistance, the bet of the subjective folding, "[...] irreducible to knowledge and power from which it derives" (WEINMANN, 2006, p.21), would promote an incessant movement of subjective pressure, which also exists as recodings for "more freedom", since the *apparatuses* and diagrams are, par excellence, crossed by faulting transformation. Strategies of "obdurate" fights, "insubordination", and the border between freedom and power, are called into question in this "agonistic", which defines the possibilities of the individual against the identifications and based on forms of ethical subjectivity - or *unsubjectivity*.

As presented in the previous sections, this transformational dimension - of theory and struggle - was taken over by the French on several occasions, especially because the kind of struggle in the contemporary world would be with the forms of power that constitute identities - the subject positions. Against them, Foucault himself demanded freedom and the aesthetics of existence: "I do not want, I refuse, above all, to be identified by power"[19] (FOUCAULT, 2014a, p.250).

Finally, we are now going to investigate how the apparatus of authorship can be desecrated and displaced, according to Foucault's ethical turn. For this, the next section will address Judith Butler's reading of the writings of the self as the focus of dis-identification policies created by Michel Foucault.

The self and the authorial performance

The government (*le gouvernement du soi*) theme in Foucault (2014b), as pointed out earlier, was based on a discussion of the production of life as an art object. His research noted that, in Pagan and Christian antiquity, a self-writing problem should also be considered. This was about the *hypomnêmata*, notebooks (booklets) about the daily life, and the *oikonomia*, that raised a *tekhne tou biou*, in other words, a technique of the self and a caring. From Greek to Christians, the *hypomnêmata* would have been through transformations, "[...] a dramatic change between the *hypomnêmata* evoked by Xenophon, that was only about remembering the elements of a basic scheme [*tekhne*], and the description of St. Anthony's nocturnal temptations."[20] (FOUCAULT, 2014b, p.233).

The narrated change refers to the resumption of self-care by Christianity, now for the exercise of pastoral power and for the soul's transcendental salvation. However, in both cases what Foucault (2014b) explains is that they are exercises, a turning of attention to the self that can be read in the registers of the self, in these antique self-writings. Indeed, when the Greek *epimeleia heautou* worked to ensure the sovereignty of the individual and the production of an ethical regime also forging writing exercises of the

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[19] The original, in Portuguese: "Eu não quero, recuso-me, sobretudo, a ser identificado, a ser localizado pelo poder".

[20] The original, in Portuguese: "[...] uma mudança dramática entre os *hypomnêmata* evocados por Xenofonte, em que se tratava somente de se lembrar dos elementos de um regime elementar [*tekhne*], e a descrição das tentações noturnas de Santo Antônio".

self, the Christian *epimeleia ton allon* reversed the process and created an obedience relationship towards the pastor, shifting the freedom into obedience.

Between these two models, the *hypomnêmata* again suggest that there is a margin of freedom between the subject and the *apparatus of authorship*. We cannot talk, of course, of an *apparatus of authorship* in these antique texts. We can only observe the non-irrelevant task of the self that goes through writing and through subject - a specific *apparatus* of antiquity - that Michel Foucault engages in his last texts (1984 edition).

This writing about the self in the form of an aesthetic of existence is one of Judith Butler's (2015) models to question the production of a policy that goes beyond the philosophy of substance and recognition. It is in this questionings that Butler uses Foucault, notably his 1980s texts we now discuss about. She surrenders to the fact that the "ethical ways" are modeled by "codes of truth". Ultimately, these arrangements engender limits "engendering oneself" (BUTLER, 2015, p.35). But less than an invariable framework, Foucault's "codes of truth" would be used according to a relationship – a fold, as mentioned in previous sections of this text: "[...] Foucault not only defends that there is a relationship between these standards, but seeks to understand that any relationship with the codes of truth is at once a relationship with the self."[21] (BUTLER, 2015, p.35).

The author evokes a key result: upon putting oneself critically in relation to the codes of truth, one must argue the grounds where one can be, that is, the limits of my ontological condition are placed in suspension (BUTLER, 2015). Going deeper, it is the non-conformity of life regarding rules, following the model of the aesthetic of existence, which allows that the self-production of the subjectivity forms - here finally positive - that undoes the very capacity of the *apparatus* to demand, to codify pleasures, practices, and subjects. For Butler (2013), when Foucault argues "how not to be governed?", he creates a critical attitude in which virtue takes the place of resistance. Virtue, however, which is always a process:

> The critical practice does not well up from the innate freedom of the soul, but is formed instead in the crucible of a particular exchange between a set of rules or precepts (which are already there) and a stylization of acts (which extends and reformulates that prior set of rules and precepts). This stylization of the self in relation to the rules comes to count as a "practice"[22] (BUTLER, 2013, p.169).

From the contingency codes and *apparatuses* on one side, and their own subjective identities on the other, the instance of freedom emerges, and that opens up a "precarious

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21 The original, in Portuguese: "[...] Foucault não defende apenas que exista uma relação com essas normas, mas também que qualquer relação com o regime de verdade será ao mesmo tempo uma relação comigo mesma".

22 The original, in Portuguese: "Ela, antes, forma-se no embate de uma troca específica entre um conjunto de regras ou preceitos (que já estão dados) e uma estilização de atos (que expande e reformula esse conjunto prévio de regras e preceitos). Essa estilização do "eu", em relação a regras, acaba por constituir uma 'prática'".

ontology" (BUTLER, 2013, p.172). For both cases, constituting a crisis, "profanation" (AGAMBEN, 2014) and *unsubjectivation* (BUTLER, 2013, 2015) are the forms of active disobedience offered by this new "unsubject".

What implications would such shifts for an *apparatus of authorship* have, as outlined here?

Butler (2015) uses the ontological precariousness to inquire about the limits of narrating the self. Such as the *hypomnêmata*, then, the author realizes that narration is a performative act, since it is developed in accordance to the requirement of a repetition and an act, never having the guarantee of fixed *apparatuses* or substantive identities. Besides, she shows that this performative narration of the self, since the Greek problematic, results in an incomplete action either because the subject is always-already sharing the world with other subjects, or because the *apparatuses* already placed ways of narrating and being available, to being problematized. The result is that "[...] ethics certainly does not imply only the rhetoric (and the analysis of the interpretation mode), but also the social critique"[23] (BUTLER, 2015, p.170).

It is this incompleteness of performative writing of the self that requires a rethinking of the author function and the authorship *apparatus*. As often pointed out by Michel Foucault, writing could stand out from the "moral of the civil state", as he spoke about in the preface of *Archaeology of Knowledge* or being one of the limit-experiences, a denial of what is expected from an author function. Such a "profanation" would require the assumption of a virtuous life, in which ethics and knowledge, separated since Descartes, could be related.

This *apparatus* of authorship, as we argue here, is still a coercive system, but arises always-already marked by critical instance, by the delicacy of unsubjection condition and of its precariousness which, however, can act and create on the machine: a human being who resists. When we think of authorship like that, we take a step ahead from the 1969 and the 1970's texts, made "classic" for the author's definition. Moreover, the possibility of a mobility guarantee, and the free transformation of the texts circulating under the responsibility and the consistency of Michel Foucault's name (and many other names). When we set them free (the name and the concept in their dispersion of discourses), in an instance that requires sameness, the promise is that of a disjunction that does not fit in the writing, nor in the scheme of the books, but sees them from far away, smiling.

Final remarks

This text aimed to discuss the issue of authorship, as elaborated in Foucault's *archeogenealogy*, relating it to the concept of *apparatus*. The hypothesis is that the

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[23] The original, in Portuguese: "[...] a ética certamente não pressupõe apenas a retórica (e a análise do modo de interpretação), mas também a crítica social".

authorship could be read as an *apparatus* - the *apparatus of authorship* - and that the displacements suffered by this *apparatus* could be questioned according to a critical perspective, from the late 70s of the twentieth century, allowing Foucault to retake the themes of freedom and subject in relation to moral codes and practices of power-knowledge.

In order to do so, the text described the concept of *apparatus* and the possibility of its desecration. Then we linked the outbreak of authorship in discourse of **archeogenealogy** at three different times: *Archaeology of Knowledge, What is an author?,* and *The order of Discourse* . The author and the author-function problems were then designed according to an *apparatus of authorship* or copyright. The final section of the text aimed to investigate the *apparatus of authorship* in its processing capacity and displacement, followed by a discussion on ethics, *unsubjectivation*, and criticism, recognized as the "third phase" of Foucault's studies. From this perspective, we brought to light issues such as *epimeleia heautou* and the writing of the self, as well as interesting notes on Judith Butler's narrative of the self.

Finally, it was understood that along with Foucault and having him as a base, it is necessary to be more open to freer and more critical understanding of the *apparatus* of the authorship, and not only for their condition of function and coding, as intended the word back in 1969 and 1970. This changes require an approach to the problem of critical forms and the precariousness of *unsubjectivation*. It also requires that the holder is not limited to its most prominent feature: containing the circulation and the dispersion of the discourses.

As Foucault, we would imagine the *apparatus* of authorship as a "ground of subjectivity" and resistance, creativity and "limit-experience". If the French researcher refused to be captured in writing, it is necessary that such negative is also a motto for the authorship studies in order to rescue what the authoring has of political action, freedom, and transformation capacity. It is compulsory we ask about the limits of subjectivity and critical *unsubjectivation* of all writing, in the case of authorship, still remain under Foucault's spectrum, a policy and an agonistic struggle with the meaning of, as said Agamben (2014, 2009), the profanation of the *apparatus* .

■ *RESUMO: Este texto tem como objetivo oferecer uma releitura do conceito de autoria de Michel Foucault, definido e comentado a partir de três textos fundamentais: A Arqueologia do Saber, O que é um autor? e A Ordem do Discurso. A hipótese é de que a autoria pode ser lida como um dispositivo – o dispositivo da autoria ou autoral – e que, dessa perspectiva, pode ser problematizado a partir do conceito de resistência e da preocupação ética do chamado "último Foucault". Para defender tal hipótese, recorre-se inicialmente à descrição do conceito do dispositivo e do conceito de autoria, na arqueogenealogia e segundo alguns*

comentadores. Depois, traça-se uma discussão entre o dispositivo da autoria e as possibilidades de resistência e de criação subjetiva, presentes em conceitos como *epimeleiaheautou*, crítica ou dessubjetivação. Por fim, sugere-se que o dispositivo da autoria pode ser lido ainda foucaultianamente, desde que segundo a ordem de uma política e de uma luta *agonísticaentre* os viventes e os dispositivos.

▪ *PALAVRAS-CHAVE: Autoria. Dispositivo. Arqueogenealogia. Michel Foucault.*

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THE MEANING OF WORDS AND HOW THEY RELATE TO THE ONGOING TEXT:A STUDY OF SEMANTIC COMMENTS MADE BY TWO 7-YEAR-OLD SCHOOLCHILDREN[1]

Eduardo CALIL[*]

■ ABSTRACT: This study aims to analyze the semantic comments made by a dyad of newly literate students (6 to 8 years), during writing processes in real time. Affiliated to the field of studies proposed by the Textual Genetics, from an enunciative approach, we treat as a unit of analysis the Dialogical Text (DT) established in face-to-face interaction, respecting their multimodal dimension (gestures, expressions, body movements) and spontaneous speech and co-enunciation of the students in pairs. The DT constitutes the recognition by one of the speakers of Textual Objects (TO) and comments related to these objects. The relationship between the TO and recognized semantic comments is defined as a type of Commented Oral Erasure (COE). Our analysis was based on a data set composed by the filmic record of 16 writing process stories invented by the same dyad of students. We discussed the occurrence of this type of COE in 3 writing processes. Our results indicate that the semantic comments directed to OT aimed at the establishment of textual unit, indicating how the students were thinking about this problem for the manuscript in progress. The relationship between the TO and uttered semantic comments mapped the genesis and the textual creation process. Moreover, the semantic COE show the students' linguistic and textual knowledge that are not possible to identify in the finished manuscript.

■ KEYWORDS: Classroom. Textual production. Dialogue. Writing. Authorship. Manuscript. Erasure.

Introduction

Since the 1980s, Textual Genetics[2] (TG) studies, which researchers interested in investigating the process of literary creation had initiated a decade earlier, have sought to understand the genetic journey of writings produced in a school context by beginner writers. The works of Claudine Fabre (FABRE, 1990, 2002), who saved from the

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"wastebasket" drafts[3] produced in the classroom, influenced a large number of studies (PENLOUP, 1994; BORÉ, 2000; ALCORTA, 2001; PLANE, 2006; DOQUET, 2011; CALIL, 2009) aimed at understanding the reflective activities and metalinguistic operations that occur during the writing of a text[4].

Based on different products written by students (draft, manuscript, copy, recopy, early version), several textual elements were identified that point to the recursive relationship of the writer with his own text. These studies show that erasures made on the same product (a student's draft or manuscript), or modifications from one version to another, indicate the writer's returns over what was written. Whatever the manuscript may be, the vast majority of TG studies focus on identifying and describing what was altered, corrected or suppressed from the written product. Many of these studies identify and describe the four types of erasures (erasing, adding, substituting and rearranging), quantifying the graphic and linguistic modifications made during the writing process. Fabre (1990) showed, and subsequent studies confirmed, that numerous erasures are found even in manuscripts written by newly literate students (6- to 9-years-old), indicating that metalinguistic operations occur at different linguistic levels (graphic, orthographic, lexical, semantic, syntactic, and punctuational).

Among these operations, those involving the writer's lexical choices are very important to understand the author's text creation and his metalinguistic and metatextual reflections while writing. However, although it is useful to identify and describe erasures and lexical substitutions in order to reconstitute the writing process, access to the student's mindset while he was writing is limited to the marks he left on the paper he handed to the teacher. The erasures the writer makes indicate the procedural and recursive character of metalinguistic operations in the ongoing text, but the analysis of these marks only allows for *a posteriori* or after-the-fact interpretations of the process.

One of the few studies that sought to analyze the metalinguistic operations performed during the writing process in real time was developed by Doquet (2011). The French researcher used the program *Genèse du Texte*[5] to simultaneously capture the movements of cursor, keyboard and mouse. Her study, which involved 10-year-old students writing without the teacher's interference, reproduced online the temporal dimension of the erasures made during the writing process. This accurate and precise chronological record, which captured the timing of the cursor movements on the computer screen and of the keys that were touched, revealed the pauses the writer made between one movement and the next.

Unlike the offline analyses of textual products (school manuscripts) conducted after the fact, the information provided by the *Genèse du Texte* program indicates

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[3]   This term, recurring in many French studies, refers to the text written by the student as "draft". As stated in Calil (2008, p.24), we feel it is more appropriate to refer to this type of work as "school manuscript".

[4]   The reader may verify the emphasis given to the French student's "draft" (brouillon) in some issues of the periodicals Pratiques, Le Français Aujourd'hui, Linx, E.L.A.

[5]   Available in: <http://www.lecture.org/ressources/index_ecriture.html>. Access in: 03 Nov. 2016.

that there was a longer or shorter pause between one word and the next, and that the cursor was moved to the next line and then returned to its starting position. This gives rise to numerous hypotheses regarding the pauses and the modifications observed, or even to ascribe intentions to the writer about what he may have thought while choosing one word rather than another, or when he made a pause that was longer than another.

The correlation between erasures and pauses introduced a new component into the analysis of text creation. Among the various erasures that Doquet analyzed, she identified the time and the pauses involved in lexical substitutions and deletions. For example, she showed that the student wrote "se débrouillaient" and "se défendaient" a few seconds before writing the pronominal verb "se cachaient" (DOQUET, 2008, 2011). However, despite the chronological precision with which the erasure was recorded, it was not still possible to obtain evidence of why the student made these substitutions. In her analysis of these substitutions, the researcher interprets what happened by stating "sans doute la pause qui suit [se cachaient] marque-t-elle un doute, une hésitation" (DOQUET, 2011, p.155, emphasis added). However, how can one know what happened during the pause? What was the writer's doubt? What exactly does the hesitation correspond to? There is no way of knowing. It is not possible to assert whether a doubt did, in fact, occur.

In our studies (CALIL, 2003, 2008, 2012a, 2012b, 2013) we have proposed a methodology using multimodal resources to record the ongoing manuscript, while respecting the environmental, didactic and interactive conditions of the classroom. Focusing on textual production practices adopted by schools that follow a "socio-constructivist" curricular approach, we opted for collaborative textual production (paired writing of the same text) as the didactic-methodological procedure, which would give us access to what students think while they write. Using audiovisual instruments, we video-recorded the dyadic interactions between a pair of students. Starting from the dialog between them – characterized by spontaneous speech, gestures and facial expressions – and its relationship with the ongoing manuscript, we were able to identify textual objects the students recognized during the writing process, as well as their comments about these objects while considering whether to maintain, modify or erase them. These comments made during the process generate effects in the configuration of the final product, revealing the linguistic, graphic and discursive elements that were not written or were written and then erased.

Our intention in this paper is to demonstrate that certain words may be recognized as textual objects, and this is followed by remarks that express the students' reflections about their meaning and their relationship with the ongoing manuscript.

Writing and Dialogue

Studies that analyze dialogues that take place during dyadic writing[6]tend to emphasize the interactive (DAIUTE; DALTON, 1993; VASS, 2007), conversational (GAULMYN, 1994; BOUCHARD; GAULMYN, 1997) or learning (SWAIN; LAPKIN, 2002; STORCH, 1999) aspects more than the writing and genetic dimensions of the text being written. Unlike Textual Genetics studies, researchers who analyze "conversational writing" (GAULMYN, 1994; BOUCHARD; GAULMYN, 1997) consider collaborative textual production as an intensive task of "reformulation" (GAULMYN, 2001), using as the object of study the "oral-text" comprised of "metadiscourses" (BOUCHARD, 1997) aimed at the "target-text" (APOTHELOZ, 2005). The studies published in the books organized by Gaulmyn, Bouchard and Rabatel, (2001) and by Bouchard and Mondada (2005) examine the conversational writing of two non-francophone university students while they write an argumentative text about "school homework."

Although it is not possible to pinpoint precisely the relationship between the dyad's dialogue and the moment something is being written on the sheet of paper, Apotheloz (2001, 2004, 2005) discusses what he called an "autonymic event." These events are associated with the moments when two university students, employing their own linguistic skills and international standards, formulate and eventually evaluate the syntagmas that will enable the text to advance toward its final form. According to the author, some forms of evaluation may be recognized in dialogues, such as:

> 409 H: la polémique du devoir... à la Maison
> [409 H: the polemics of duty... at home]
> 410 F: 'polémique' qu'est que ça veut dire
> [410 F: 'polemics' what does it mean]
> 411 H: La 'polémique' c'est: la grande discussion. Polémique c'est la discussion.
> [411 H : the 'polemics' is the great discussion. Polemics is the discussion.]
> 412 F: Ah, oui.
> [412 F: Oh, yes.]

Turn 411 by H has an "enoncé de double categorization[7]." This statement contains simultaneously "le sens d'un mot de la langue (définition de mot)[8]" and the "objet désigné génériquement (definition d'objet)[9]" (APOTHELOZ, 2001, p. 53). The emphasis given to the "conversational" aspect, to the description of the "patterns

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[6] Collaborative writing situations involving more than 2 participants in school settings have also been the subject of many studies (DALE, 1994; CAMPS et al., 1997, ROJAS-DROMOND; ALBARRAN; LITTLETON, 2008; CRINON, 2012, among many other studies). Here our focus will be on studies that focus only on dyadic writing processes.

[7] Statement with two categories.

[8] The meaning of a word in the language (definition of the word).

[9] Object designated generically (definition of the object).

de reformulation[10]" (APOTHELOZ, 2005) and to the "syntaxe de l'expansion[11]" (APOTHELOZ, 2001) does not value this form of metalinguistic reflection. However, they play an important role in the construction of the "target-text" and its final form. On the one hand, in collaborative writing situations, statements of this kind are preceded by the return of one of the participants to a spoken term to be written ("'polémique' qu'est que ça veut dire", 410 F). On the other hand, in this example there is a metalinguistic operation indicating an autonymic reflection ("la 'polémique' c'est: la grande discussion. Polémique c'est la discussion." 411 H) that seeks to justify what is being written in the ongoing text.

From our genetic standpoint, whose object of study is the dyadic writing of two newly literate students, the relationship between these two aspects (recursiveness and metalinguistic reflection) is of primary importance. Reconsidering a previously spoken term indicates recognition of its importance to the ongoing text and what the writer says about it expresses explicitly what he knows and thinks about this term, and in particular, suggests the relationship the writer assigns to its relevance (or not) to what is being written. The interrelatedness between these aspects is characterized as "tension points" (CALIL, 1998, p.97) in the process of paired writing. Analyzing their occurrence may indicate what the writer thought while making an erasure, an aspect that cannot be revealed by the end product (manuscript) or the time record (pauses).

Erasure and Oral Erasure

Tension points indicate recursive actions by the students while working on the manuscript. The record of their dialogue about what they were going to write or about what they had already written reveals what they were thinking regarding certain textual objects[12], about the way the text was being arranged, and about the genesis of the creative process. These tension points identified in the dialogical flow led to metalinguistic operations, whose rules are similar to those interpreted from the graphic erasures that are visible in the text. We called these tension points in the dialogical flow "oral erasures" (CALIL, 1998, p.108).

According to Calil (2012a, 2012b, 2013), Calil and Felipeto (2012) and Felipeto (2008), in collaborative or paired writing, the oral erasure, identified from the association and synchronization between an ongoing manuscript and its final version, is a powerful co-enunciative phenomenon to map and understand the pathways of creative and writing processes, even though the spoken elements are not always included in the end product. If the written erasure, in essence, indicates an alteration or change in what has already

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[10] Reformulation patterns.

[11] Expansion syntax.

[12] Our understanding is that the term "textual object" is more suitable to our purpose than the term "*objets de discours"* (MONDADA, 1994). Textual object refers to a graphic, linguistic or discursive element directly related to the on going text and considered by the writer as an element that may be added or altered.

been written, characterized by the writer's more or less complex return to a given point of the ongoing manuscript, we argue that the returns that are manifested verbally during the dialogical flow, when focusing on what will or will not be inscribed[13] and linearized[14], should also be treated as a form of manifestation of the erasure. It is an erasure whose provenance stems from its oral, dialogical and co-enunciative nature, but whose effect interferes in the final form of the manuscript.

The oral erasure, characterized co-enunciatively during collaborative writing, preserves the spontaneous and shared utterances. Established during the writing process, it indicates the spontaneous and unpredictable way in which each student modifies elements to be written into the ongoing manuscript. Thus, the record of oral erasures outlines the creation of the paired writing process.

Within the Dialogical Text (DT) established between the students, we identified the recognition of "textual objects" by one of the speakers. This identification considered how the speaker treated a Textual Object (TO), altering it with respect to what had already been written, or reformulating[15] it so that it could be inserted into the ongoing manuscript. In the aforementioned oral erasure, this identification is characterized by an interruption the speaker makes in the narrative and written flow, a "return" to the identified TO, followed by comments about it.

The TOs extracted from the DT and associated with the ongoing manuscript stand out through the voice of each speaker/writer, in the exact instant they are spoken, in a real, everyday and immediate situation. Added to these aspects are the immediate context and the production conditions – given socio-historically and didactically – which are the idiosyncratic expressive elements of each of the participants (body movement, gestures, looks, facial expressions, holding and positioning of the pen),

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[13] We prefer using the term "to inscribe" instead of "to write" due to its more graphic and less linguistic connotation. This allows us to use it to refer to graphic marks which are not necessarily linguistic. For example, pupils sometimes consider aspects of the graphical form of a grapheme or of the physical space available on the paper, commenting on the number of lines remaining to finish the story. They may also comment on the small amount of room to enter a long title, trying to reshape the latter to fit into the limited space.

[14] The movement from the "plan of ideas" to the "plan of the written text" is called, in the specialized literature, as "translating" (HAYES; FLOWER, 1980) or "text-generation" and "transcription" (BERNINGER et al., 1994). For us, interested in understanding the multimodal and ecological dynamics of on going text creation, it is important to consider this moment of the writing process by newly literate children as being composed of two movements, inscription and linearization. One is the "inscription" of the mark on the paper, including both the linguistic and non-linguistic graphic marks (tracings, erasures, visual aspects of the sheet). Secondly, there is "linearization", that is, the spatial alignment of the text on the sheet, resulting from the syntagmatic association between letters, words, phrases and paragraphs, shown both sequentially and linearly. In order to *linearize* it is necessary to inscribe sequentially the graphic forms on to the sheet. On the other hand, *inscribing* a graphic form on to the text can occur with out necessarily involving *linearizing*.

[15] The reformulation that occurs during collaborative writing is a phenomenon studied by Milian (2005). Her assumption is that "It allows the writer(s) to operate on the text online, following a reflective process with different degrees of awareness, and guided by her/their own knowledge and goals" (MILIAN, 2005, p.338). In our studies, we seek to reformulate the point of view of Textual Genesis. This means that we will consider both metalinguistic reflections expressed by the student, as the relationship between what he commented orally on the Textual Object, and, concurrently, how the TO was effectively inscribed and/or linearized in the on going manuscript. This perspective of ours, just described, is missing in most studies of the "reformulations" performed by students during the collaborative writing process.

face-to-face interaction, and their involvement in the shared and collaborative writing. And lastly, the spontaneous, unplanned, unpremeditated and unpredictable nature of the oral erasures is another aspect equivalent to the occurrence of written erasures. As studies on Genetic Criticism (BIASI, 1996; GRESILON, 1994) have shown, it is impossible to predict, anticipate or plan when an erasure will occur or be produced. An erasure is recognized only after identifying at which point in the process there was a return, which may or may not have left identifiable graphic marks upon the product.

The recognition of textual objects in a DT established during collaborative writing may be followed by comments[16] about these objects. The correlation between the textual objects and comments would represent forms of manifestation of the oral erasure. Among the various forms of commentary identified (CALIL, in press), we will discuss those related to the considerations about the meaning of words and their relationship with the manuscript in progress. From the linguistic and enunciative standpoint, these comments present expanded syntactic structures, such as:

- X because of Y
- X otherwise Y
- X, but it must have Y
- X, seems that Y
- X, that is, Y
- X, but this way it becomes Y
- X, meaning, Y
- X, this means Y
- X, they will think Y
- Etc.

These forms of expression of oral erasures are therefore characterized based on the identification of the TO chosen by the pupil and its relationship with the proffered comment(s). Even if the oral erasure does not produce a visible or identifiable alteration in the end product, it clearly describes the text creation and how the pupils are envisioning the manuscript in progress. Because we consider the resulting comments as a dialogical and co-enunciative phenomenon inherent to the dyadic writing process, we will now describe and analyze some occurrences of oral erasures and their effects onto the ongoing manuscript.

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[16] It is worth highlighting that studies such as David (2001) and Morin (2005) analyze metalinguistic "comments" (meta-graphic and meta-orthographic) made by schoolchildren. David looks at the comments from beginner writers made during the review of a text previously produced; Morin discusses the comments made by children about the production of words. These situations are distinguished, as we shall see, from the interactional dynamics (co-enunciation) of comments in real time, made during the moment in which a manuscript is being produced for the first time.

Context and proposals for paired text production

In order to identify and describe the aforementioned oral erasures, we have used material collected over a two-year period when two newly literate girls (Isabel and Nara, between 6 and 8 years of age) participated in the filming of 16 processes of collaborative writing of fictional stories[17]. The teachers consistently employed the same didactic strategies when presenting the proposals for text production:

> 1st moment (presentation): presentation of the assignment, establishment of the dyads, selection of which pupil will write and which will dictate.

> 2nd moment (joint creation): the dyads (before receiving paper and pen) outline the plot and agree about the story they are going to write.

> 3rd moment (inscribing and linearization): starts when the pupils tell the teacher they have already agreed on the story and are given paper and pen to begin writing. This moment is characterized by the recording of the manuscript in progress, when each mark on the paper is made, each letter, word, phrase, title... Here, *inscribing* means making ink marks on the paper, while *linearization* refers to the written syntactic threads and positioning of each graphic-linguistic element in a particular sequence (whether accompanied or not by commentary) on the lines of the paper.

> 4th moment (reading and revision): after they have finished writing the story, the children inform the teacher, who may ask the pair to read the story to her, and make changes they may deem necessary.

The examples analyzed below show the occurrence of oral erasures during the 3rd moment (inscribing and linearization), when students have pen in hand and sheet of paper on the table.

Recognized words and semantic comments pertaining to them

Our discussion of oral erasures refers to the recognition of words or expressions enunciated by one of the speakers, followed by different comments about their meaning. We will analyze three dialogical texts selected from three different writing processes, examining the conversation that followed the recognition of the word, as well as the metalinguistic reflection pertaining to it and to the ongoing manuscript.

17 Currently, our collection, kept at the *Laboratório do Manuscrito Escolar* (LAME), contains a variety of recorded material collected at Brazilian, French and Portuguese schools. The *corpus* studied in this work is part of the "Dossiê Vila", established between 1991 and 1992.

Abcdefghijklmnopqrstuvz vs. Alphabetic Order

In our material we found frequent occurrences of the selection of textual objects pertaining to the words to be written. When tension points arise about the inclusion or writing of one term or another, the speakers may make different types of comments to defend their ideas or intentions. These comments may present arguments related to different values involving situational, interactive or communication conditions, to the meaning of the words and expressions themselves, and to the ongoing manuscript.

In the DT below, note the occurrence of two types of arguments pertaining to comments about two TOs that are competing for the same position in the ongoing manuscript.

Figure 1[18] – Status of the school manuscript "The Gluttonous Queen", lines 1 to 5, after the word "alphabetic" was inscribed, at 08:29 (3rd process, 06/27/1991).
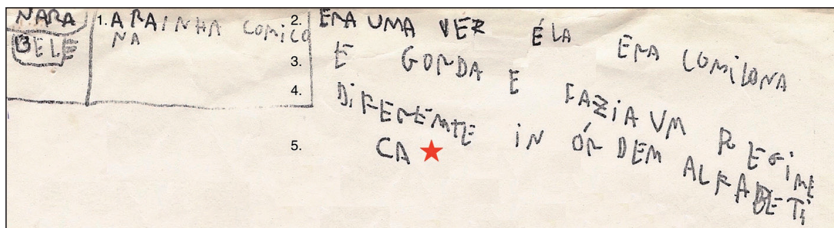
Source: School Manuscript Laboratory.

DT 3rd process (manuscript "The Gluttonous Queen"), 07:01 – 08:29[19].

55. NARA: (Isabel is writing "e fazia um regime / and was on a diet" (line 4). Nara turning to her) And one day the Qu…

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[18]   Here is the literal transcript of this manuscript:
  1. *A rainha comilona* / The Gluttonous Queen
  2. *Era uma vez uma rainha. Ela era comilona*/ Once upon a time a Queen. She was gluttonous
  3. *e gorda e fazia um regime* / and fat and was on a diet
  4. ☆ *diferente em ordem alfabéti* / ☆ in adifferent alphabe order
  5. *ca* / tic

[19]   This way of identifying the Dialogal Text shows the number of a process recorded long the two years (3rd process), and the beginning and ending times of this particular fragment of dialogue between the children. The standard followed in this *corpus*, is that time is measured from the moment the video-recorder is turned on as soon as the teacher initiates the presentation of the assignment. The purpose of timing the exercise is two fold. First, to indicate the precise moment in the dialogue when the DT happened, facilitating its identification in the video. The second objective is to indicate to the reader the duration of the DT that is related to the point shown by the star on the manuscript. On the DT transcript we indicate who was writing with an asterisk (*), and what was being inscribed and linearized during a particular turn is shown between brackets. Finally, the TO is shown in red, and the comments related to it are in blue.

56. ISABEL*: (Finishing writing "regime/diet"). Wait a little, Narinha. (Upon finishing inscribing "regime", moving pen away from the paper and turning to Nara). No. But let's do it this way... in alphabetic order... because 'alphabetic' is 'abcdef'.

57. NARA: OK. I know. (Isabel going back to writing) And ate in order...

58. ISABEL*: (Reading the last word written) ...diet... different... (Starting to inscribe [DIFEREMTE], on line 5).

59. NARA: ...in alphabetic order (Isabel finishing inscribing [DIFEREMTE]) Then one day with 'b'... (Looking at the alphabet hanging above the blackboard) 'a', 'b', 'c'...

60. ISABEL*: (Ceasing to write). Wait a little. No. (Looking at Nara, gesticulating and speaking rapidly) I'm not going to write 'abcde...' uuuuu.... in or... in alphabetic order. (Turning back to the text and reading) ...different diet...

61. NARA: (In a complaining tone) I dictate, right, Bel, ôô...

62. ISABEL*: Wait a moment, Narinha. (Brief pause) Because... it looks strange, doesn't it? (Quickly singing the whole alphabet) abcdefghijklmnopqrstuvz...

63. NARA: She ate in alphabetic order... and then going to say... (Gesticuling as if about to sing the alphabet)

64. ISABEL*: In alphabetic order. (Going back to writing 'in order' [IN ÓRDEM]. ...order. That's not what we agreed... ...phabetic. (Inscribing [ALFABÉ]. Stops inscribing and turns to Nara) You know, Narinha, that's not what we agreed. We didn't agree. We didn't agree this way...

65. NARA: Yes... you didn't tell that we were going to do in 'alphabetic order' either, and I said OK.

66. ISABEL*: ...alphabetic. (Turning to the end of line 4, inscribing 'ti' [TI] and changing to another line (line 5), inscribing 'ca' [CA]). ...in alphabetic order. (Stops inscribing and turns to Nara asking her to continue to dictate) Go ahead.

The two TOs highlighted in red (Nara's turns 55 and 59) indicate how the story should proceed after writing "and was on a diet" (*e fazia um regime*, line 3). The first TO occurs when Nara is dictating "and one day the Qu..." (*e um dia a ra...*). Isabel, who was finishing inscribing the word "diet," still needed to write a line about the gluttonous queen's diet. During the moment of "joint creation," they had agreed that the Queen was on a diet in which she "first ate something starting with 'a,' then ate everything starting with 'b'..." (*comia uma vez uma coisa com 'a', depois comia tudo que começa com 'b'...* turn 14, Isabel). To prevent the story from continuing the way Nara dictated it, Isabel (turn 56) says, for the first time during this writing process, "in alphabetical order." Right after this reformulation, she explains and at the same time justifies "because 'alphabetical' is abcdef" (*porque 'alfabética' é abcdef*). This autonymic comment recognizes the expression "abcdef" and mentions the word 'alphabetical,' indicating a metalinguistic knowledge acquired in the current school

situation (the concept of "alphabetical order"). The comment also indicates the child's metatextual ability to express this information in the ongoing manuscript.

Nara accepts the inclusion of "alphabetical order" (*ordem alfabética*, turn 57), but returns to the story starting from: "Then one day with 'b'... 'a', 'b', 'c'..." (*Daí um dia com 'b'... 'a', 'b', 'c'...*", turn 59), looking at the letters of the alphabet hanging above the blackboard. Her utterance leads to the recognition of another TO ([regime/diet] with 'a', 'b', 'c'), which also will be rejected by Isabel, this time accompanied by comments presented in three successive turns (turns 60, 62 and 64).

Turns 60 and 64 present comments containing pragmatic arguments. In 60, Isabel uses the authority afforded her by the pen and says: "I'm not going to write abcde..." (*eu não vou escrever abcde...*). Later, in turn 64, she resorts to another pragmatic argument: "That's not what we agreed" (*a gente não combinou assim*). Here, the argument highlights not only the teacher's instructions about the assignment (to create the story together and then write down what was agreed) but also what the girls agreed about as they were creating the story together. Again, this comment has a pragmatic value because it pertains to the contextual aspects (interactive and communicative) of the activity. As is typical of such comments, which are identified in several other instances in our data set, the pragmatic argument aimed at preventing the inclusion of a textual object does not involve linguistic or textual aspects of the ongoing story. In her defense of the proposed TO (turn 65), Nara also uses a pragmatic argument, repeating what Isabel said and adding "...and I said OK" (*e eu falei que tá*).

Between one pragmatic comment and another, Isabel says "...it looks strange, doesn't it? ...abcdefghijklmnopqrstuvz..." (*fica estranho, né? ... abcdefghijklmnopqrstuvz...*) (turn 62). This is the utterance we are interested in observing. This new comment adds argumentative strength to the earlier one "because 'alphabetic order' is abcdef" (*porque 'ordem alfabética' é abcdef*) in turn 56. At the moment it is uttered in turn 62, her comment has a semantic-textual argumentative value. Isabel's reflection expresses awareness of the consistency of the text and indicates her position as reader of what is being written. At this moment, Nara does not appear to be concerned about achieving this consistency.

The two comments formulated with semantic arguments, "No. But let's do it this way... in alphabetical order... because 'alphabetical' is 'abcdef'" (turn 56) and "Because... it looks strange, doesn't it? ...abcdefghijklmnopqrstuvz..." (turn 62), are complementary and interrelated. On the one hand, they indicate Isabel has established a synonymic and conceptual relationship between "alphabetical order" and "abcdefghijklmnopqrstuvz," and on the other, that she has assumed the role of a reader, who is disagreeing with the possible insertion of "abcdefghijklmnopqrstuvz..." in the ongoing manuscript ("it looks strange, doesn't it"). There is no written erasure on paper which would indicate "abcdefghijklmnopqrstuvz" was erased and substituted for "alphabetical order" (it could certainly have happened), but the presence of the oral erasure at this point in the manuscript is evidence of why the children wrote "alphabetical order" instead of a different term. The oral erasure has a stronger explanatory value

than the mere identification of a possible written erasure in the end product, or even of access to the long pause between the record of the word "diet" (regime) and of the syntagma "in alphabetical order." If all we had in hand was the manuscript with the substitution erasure between "abcdefghijklmnopqrstuvz" and "alphabetical order," several assumptions could be made about why the writer replaced one with the other, but none of them would be based on what really happened when the erasure was made, or on what the writer was thinking while making it.

The explanatory dimension of the analysis of the pupils' dialogue and its relationship with the end product lies in the fact that it reveals not only the text creation but also how the writers are considering several TOs at that particular moment in the process. The dialogue, accompanied by the video-recorded facial and gestural movements and body language, and by the mark of the pen on paper, is part of what we call "verbal manuscript," which preserves the memory of each process and the record of all its directions and recursive movements *in real time*. Through the utterances, we also gain access to the subjective differences between the writers, to their individual linguistic and textual knowledge, and to the relationships they have established with the textual objects recognized as challenging during the writing process.

Sad vs. Solitary

Our *corpus* contains occurrences of oral erasures in which the TO triggers comments involving other arguments of semantic value, expressing the meaning a word has for the speaker or its meaning in relation to the words surrounding it. In the 16 processes there are several occurrences of comments with this type of argument, such as one that emerged when the children were about to write the word "sad" (*triste*) on line 12 of the manuscript "The three *Todinhos*[20] and the Flavor Lady" (*Os três Todinhos e a Dona Sabor*).

Figure 2[21] – Status of the school manuscript "The three *Todinhos* and the Flavor Lady," lines 10 to 12, at 25:51 (6th process, 11/28/1991).
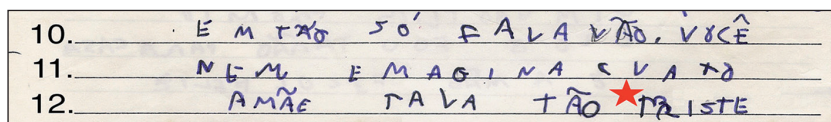
Source: School Manuscript Laboratory.

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[20] In Brazil, *Toddynho* is a very famous chocolate milk consumed by children. It is a product of the brand Toddy, manufactured by PepsiCo. In the invented story that received this title, the students made an association between the "three little Pigs" ("os três Porquinhos", in Portuguese) and the name of the chocolate milk.

[21] Literal transcript:
10. *Então só falavam. Você* / So [they would] only speak you
11. *nem imagina quanto* / can't even imagine how much
12. *A mãe tava tão* ☆ *triste* / The mother was so ☆ sad

DT_6[th] process (manuscript "The three Todinhos and the Flavor Lady / *Os três Todinhos e a Dona Sabor*"), 25:00 – 25:51.

198. ISABEL*: (Reading out loud 'so all they said`) ...So all they said. (Inscribing the period after 'said' [FALAVAO].) Period. (Inflecting her voice and reading 'you can't even'.) You can't even... (Inscribing 'imagine how much') imagine... i [E]... ma [MA]... gi [GI]... ne[NA]... (Inscribing 'how much' [CUATO]. Finishing writing 'how much', and turning to Nara abruptly) Suddenly... No. The mother was... was very sad, right? But there was lots of crying... (Gesticulating as if she is the character.) ...suddenly a fairy showed up... then they got scared, right? ...a fairy showed up, right ?

199. NARA: They had never seen a fairy.

200. ISABEL*: (Inscribing 'the mother'.) ...the mother... the mother [A MÃE]... (Inscribing and inflecting her voice.) ...was so solitary. (Inscribing 'was so' [TAVA TÃO].)

201. NARA: (Asking emphatically.) Solitary?

202. ISABEL*: No. was... No. was... 'Solitary' means 'alone', so it has nothing to do with. (Inscribing 'sad'.) She was... was... so sad [TRISTE]... that her children said only...

Like the earlier manuscript, this one also has no erasure to indicate the substitution of the word "solitary" for "sad," written on line 12 at the end of the phrase "the mother was so sad / *a mãe tava tão triste*." "*Triste*" is written as if there were no competition with other words. However, when the pupils were writing this part of the story, "sad / *triste*" was considered synonymous with "solitary / *solitária*," accompanied by semantic and textual comments.

Initially, Isabel says the mother "was very sad" (turn 198). At the moment she is inscribing and aligning the phrase "the mother was so sad" (turn 200), Isabel utters "solitary" in place of "sad": "...the mother... the mother [A MÃE]... (Inscribing and inflecting her voice.) ...was so solitary." In this exact moment, the word "solitary" is recognized by Nara as a TO, distinguishing it from the flow of speech and narrative sequence of the story.

The unexpected inclusion of the word "solitary" instead of "sad" would have been written and remained unnoticed had Nara not found it strange and interrupted the process. Her questioning and enunciative return to the word "solitary," in turn 201, leads Isabel to reflect on its meaning and evaluate its pertinence to the ongoing story.

This takes place as follows. In turn 202, in response to Nara's questioning, Isabel repeats the word and then comments about it, using two related arguments. First she makes a metalinguistic autonymic analysis,[22] explaining the meaning of "solitary": "solitary means alone," a reflection very similar to the one described previously: "I am

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22 We analyze an other example of this kind of semantic comment in Calil (2012a).

not going to write 'abcdef.' I'm going to write 'alphabetical order,' because 'alphabetical' [order] is abcdef."

The second argument has a textual value, similar to the earlier utterance "it looks strange, doesn't it? ...abcdefghijklmnopqrstuvz..." Isabel, still in turn 202, orally erases the inclusion of the word "solitary" in the ongoing manuscript by saying, "so, it has nothing to do" with the story.

The semantic and textual argument in this comment prevents the word "solitary" from being included in the ongoing manuscript. Despite its synonymic and associative relationship with "sad," this TO causes a departure from the narrative content established up to this point: the story narrated that the children just talked, they talked a lot, and the mother was sad (not solitary) because of it.

Entrance vs. Door vs. Hole

This last example of a semantic comment was done by Nara, who makes this type of comment less often than Isabel. However, the fact that Nara begins to use this type of comments, which were absent in her turns up to this 8th writing process, indicates that Isabel's semantic comments have somehow influenced Nara's way of thinking about the ongoing manuscript.

Figure 3[23] – Final status of the school manuscript "The Magic
Closet / *O guarda-roupa mágico*" (8th process, 04/02/1992).
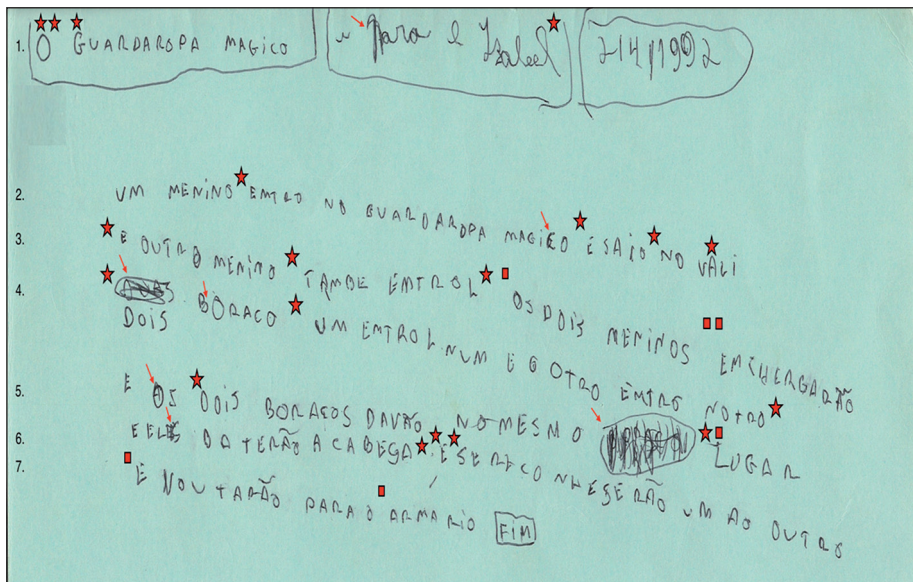
Source: School Manuscript Laboratory.

We have chosen to present the school manuscript "The Magic Closet" in its finished form, as it was handed to the teacher by the schoolchildren. The 19 stars indicate the tension points in the ongoing manuscript, whose TOs were recognized by Isabel (in charge of writing). The 6 squares indicate places where Nara (in charge of dictating the story) recognized a TO, while the arrows indicate the 7 written erasures made in the manuscript, enabling the reader to see that not all the oral erasures resulting from the identification of textual objects led to written erasures, or vice-versa. The

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23   Literal transcript (Portuguese):

1. O guarda-roupa mágico   **N**ara e Isabel   2/4/1992
2. Um menino entrou no guarda-roupa mági**c**o e saiu no vale
3. e outro menino também entrou. Os dois meninos enxergaram
4. ☆ ~~duas~~ dois **b**uracos. Um entrou num e o outro entrou no outro.
5. E **o**s dois buracos davam no mesmo ~~buraco~~ lugar.
6. E ele**s** bateram a cabeça e se reconheceram um ao outro.
7. E voltaram para o armário. FIM

Literal transcript (English):

1. The magic wardrobe   Nara and Isabel   2/4/1992
2. A boy entered the magical wardrobe and came out in the valley
3. and another boy also entered. The two boys saw
4. ☆ [~~duas~~] ~~Two~~ [dois] two holes. One went in one and the other went in the other.
5. The two holesled to the same ~~hole~~ place.
6. And they bumped heads and recognized each other.
7. And they returned to the closet. END

use of stars and squares to identify these points helps us evaluate how productive, or not, the collaborative interaction was, i.e., the absence of tension points means that no metalinguistic reflection occurred during the writing process. In other words, the number of occurrences of oral erasures may serve as a measure of the productivity of the interactive situation, insofar as they indicate the tension points that were accompanied by metalinguistic operations.

Among these 25 tension points we will analyze the one related to the written erasure made at the beginning of line 4. There is a substitution erasure at this point. The word "two / *duas*" was erased and substituted for "*dois*," written right below it, in line with the gender (in Portuguese) of the noun "holes / *buracos*":

> 3. [...] The two boys saw
> 4. [duas] ~~two~~ [dois] two holes

Based on its position on the sheet, it can be inferred that the erasure was made at some point during the inscribing and linearization of the story, characterizing it as a "reading variation" (LEBRAVE, 1983). However, it is impossible to determine at what moment the erasure occurred. Without consistent evidence, stating that it was made right after "hole" was written would be mere speculation. One may also assume that the choice between "dois" and "duas" has to do with the concordance of gender and number which is required, in Portuguese, by the masculine plural noun "buracos." And also that the written erasure indicates the pupil pondered about this aspect when making it. But this remains a supposition, an attribution to the writer of an intention that cannot be verified from the manuscript. Despite the presence of the written erasures, the finished manuscript does not tell us what the writer was actually thinking when making them. Nor is it possible to know when the erasure occurred or what preceded its occurrence. What is stated regarding the writing process, based on the presence of written erasures on a finished manuscript, reflects the researcher's interpretive and subjective bias. Intentions are often attributed to the writer that cannot be verified or proven.

In the case of this written erasure, there is nothing but the identification of the substitution of "duas" by "dois." That is, this written erasure suggests only a problem of concordance between the number and the gender of the word "buraco" in its plural form. To obtain evidence of what really motivated this erasure, one would have to analyze the moment when it occurred.

DT_8th process (manuscript "The Magic Closet"), 10:40 – 12:12.

> 135. NARA: Yes. But let me tell you now. (Retelling the story.) There was... A boy found a cave. The first boy got in. The second one too...
> 136. ISABEL*: (While Nara speaks) No. Just a moment.

137. NARA: You know why? Because it had two entrances the cave. (Moving her hands in circles to indicate the entrances to the cave.)

138. ISABEL*: OK. So let's do it this way. The two boys... dah... ahh... saw a cave. Andone...

139. NARA: ...with two / *com duas*... with two holes / *com dois buracos*.

140. ISABEL*: Yes. With two doors / *duas portas*.

141. NARA: (Laughing because Isabel said 'door'.) There's a door?

142. ISABEL*: (Also laughing.) With two holes. And one got in one and the other in the other.

143. NARA: Yes.

144. ISABEL*: OK?! Then, look!

145. NARA: Yes. But they led to the same place, OK?

146. ISABEL*: Let's see. Yesss... (Looking at the sheet.) the two boys... (Speaking and inscribing 'the two boys'.) the... two [OS DOIS] ...boys... [MENINOS] boys... boys. And what was it again? The two boys... saw.

147. NARA: (Emphatically) Got in!

148. ISABEL*: No. Saw a door... tw... two doors... (Nara is laughing) one got in one and the other in the other.

149. NARA: (Laughing.) No. Two doors, no! A cave has a door?

150. ISABEL*: (Simultaneously, as Nara speaks) What is it? (After Nara speaks) Oh yes. Two holes. The boys saw... (Inscribing 'saw / *enxergaram*' at the end of line 3.) *en...xer...ga...ram...* [EMCHERGARÃO] ...saw... (Looking at Nara, smiling, and speaking in jest.) Two doors.

151. NARA: Not doors! Hole.

152. ISABEL: No. Doors. Two. Tw... o (Speaking and writing [DU] at the beginning of line 4.) doors (Writing [AS])... holes. Two doo... ho (Speaking and inscribing [BO])...

153. NARA: ...ra.

154. ISABEL: (Speaking playfully.) Do...ors. (Showing in the manuscript that she wrote [BO] to start the word "hole / *buraco*," but still teasing Nara, making believe she is writing "doors") Look, por.... (Inscribing [RA]).

155. NARA: (While Isabel is speaking) ...bo...ra... Bora... (Isabel writing "CO") ...co. (After "buraco" is inscribed, Nara is reading to see how it is written) Two holes?! / *Duas buraco*?! (Laughing).

156. ISABEL: "Two / *Duas*"? It is written "*duas*."

157. NARA: Huh?

158. ISABEL: It is written "*duas*."

159. NARA: (Reading.) Duas bo... ra... cos... ...two holes / *duas buraco*.

160. ISABEL: No. No, wait a minute. Let's write correctly, come on Nara. Two / *Dois* (Erasing [DUAS]) two / *dois* (Speaking and inscribing [DOIS]).

The DT involving the occurrence of this tension point in the ongoing manuscript lasted 01:32 min. Its transcription, albeit long, demonstrates how the tension point emerged that led to the written erasure of "*duas*" by "*dois*," made by Isabel in turn 160 of this writing process. This written erasure resulted from oral erasures and comments pertaining to the inclusion of the syntagmas "two entrances / duas entradas," "two holes / dois buracos," and "two doors / duas portas."

Beginning in turn 135, Nara once again takes up the term "cave," first enunciated at the beginning of their "joint creation" of the story (turn 38). To justify why the two characters entered the same cave she says, in turn 137, "You know why? Because the cave had two entrances." What we have here is exactly the emergence of the tension point between the two girls regarding what should be written. In turn 139, Nara herself substitutes "two entrances" for "two holes" and Isabel, in 140, substitutes "entrances / entradas" and "holes / buracos" for "doors / portas." But the only thing recorded in the manuscript is "~~duas~~ dois buracos." All the other elements ("cave," "entrances," "doors"), which are responsible for the written erasure, are absent from the manuscript.

The written erasure indicates that there was tension at that point, but does not reveal what it was. Moreover, it is not possible to know what metalinguistic reflections were made by one or the other child when they substituted one word for another.

Between turns 141 and 160 in the DT, we can observe that Nara and Isabel had a confrontation over "two holes" and "two doors." The semantic relationship among the elements of the ongoing story that is being narrated and its textual alignment impose the need to choose a term related to "cave," causing Nara to select "two doors" as the TO, preventing it from being written into the story. What is of interest to us is the pupil's metalinguistic reflection to prevent "door" from being written. Nara uses the semantic correlation between "cave" and "door" to question and at the same time prevent the word "door" from being written, uttering twice: "does a cave have doors?" (turns 141 and 149). Her questioning may be considered a comment, whose argument expresses the need for textual-semantic coherence between "cave" and "hole." In other words, one cannot write "door" because a "cave" does not have a "door."

Nara uses this argument, which establishes a relationship of non-meaning between the terms "cave" and "door," to reject the latter, thereby preserving the word "hole" and ensuring this is the word to be written, which is what happened.

Analysis of the written erasure, based solely on the manuscript, misleads the researcher. It induces him to suppose that the only problem the writer faced stems from the choice between "duas" or "dois" to go with "buracos." The manuscript shows no evidence of what really took place, it contains no mark related to the fact that "duas" was written due to the feminine gender of "door / *porta*," which competed with the terms "entrance" and "hole." In addition, "cave / caverna," the word responsible for Nara's semantic-textual reflection (turns 141 and 149) is also absent from the manuscript.

Conclusions

From the standpoint of textual genetics, an oral erasure is a co-enunciative phenomenon pertaining to the process of writing a text collaboratively. In our case, this phenomenon is characterized by its triple semiotic dimension. The first dimension is oral. The dialogical and ecological conditions of face-to-face interaction, in which spontaneous verbalizations are accompanied by body language, gestures, looks, facial expressions, picking up the pen and positioning it on the paper, among other multimodal aspects, facilitates access to the way schoolchildren think about the textual objects involved in the ongoing manuscript.

Like many studies that defend a socio-constructivist didactic approach based on Vygotsky's ideas, the need to dialogue in order to write collaboratively offers schoolchildren the opportunity to justify, explain, affirm, deny, and exemplify why their suggestions are suitable for what should or should not be written. However, our interpretation, which is based on an enunciative approach to text creation and to the writing process in real time, underscores the writer's relationship with the ongoing manuscript.

The second dimension of the semiotic nature of this condition of text production stems from the methodology itself, i.e., video recording the writing process and recording the ongoing manuscript; in other words, the synchronization between what is spoken to be written and what is in fact written and arranged sequentially. And lastly, the third dimension is the manuscript itself, the result of this writing process. The interface that links these three dimensions (oral, visual and written) characterizes our object of study, and this material is essential for us to identify precisely that which cannot be observed when only the final configuration of the manuscript or the record of pauses is available.

The association that we propose between these semiotic dimensions, which clearly connects the face-to-face dialogue, the manuscript being written by two schoolchildren, and its final configuration, is what enables us to argue that the oral erasure discussed in this paper provides a revealing notion about the text creation of these schoolchildren. By identifying the tension points based on these pupils' recognition of words as textual objects and on their comments, we were able to observe how students think while they are writing. Because they present certain linguistic-enunciative structures with different argumentative weights, the effect of the aforementioned comments is to erase, insert or alter these textual objects to be written or already written and arranged in sequence.

As an example, in the process that generated the "Gluttonous Queen" manuscript, we may assume that if Nara were writing the story by herself, she might have written what she said: "*Daí a rainha falava... /* Then the queen was saying...," or it might have been "*Daí um dia com 'b'...* / Then one day with 'b'...". Similarly, Isabel might have written exactly what Nara dictated, if Isabel herself had not, at this point, perceived a difference between the meaning of "abcde" and "alphabetical

order." There would have been no metalinguistic reflection about the chosen TO in either of these situations[24].

Our working hypothesis is that the paired writing of a single text favors the spontaneous emergence of metalinguistic and metatextual reflections. The intersubjective nature of dyadic writing becomes more apparent when a speaker observes the differences in the way his interlocutor thinks and writes. The speaker must present arguments to "persuade" the other to write x or y. These arguments may contain important metalinguistic reflections and, at the same time, indicate explicitly what the speaker is thinking when proposing alterations of what has already been or is about to be written.

Based on oral erasures pertaining to the choice of words we can identify:

1. The moment when these terms were brought up and triggered tension points between the interlocutors while writing the manuscript.
2. How the intersubjective difference between them may give rise to comments regarding these words.
3. How their semantic and textual comments reveal what they think about the manuscript in progress.

The above examples of Isabel and Nara's comments revealed a strong concern about the meaning of the words to be written. Their comments indicated metalinguistic and metatextual reflections about the textual objects and their interrelationship with the narrative content. In the process of writing "The Three *Todinhos* and the Flavor Lady", the comment of semantic value related to the word "solitary" (*solitária*) had the effect of a substitutive erasure, preventing its inclusion in the story, in favor of writing and inserting in sequence the word "sad" (*triste*). In the second example, when describing the diet of the gluttonous queen, Isabel explains the concept of "alphabetical order," thus preventing the inclusion of "*abcde*." Nara, in the process of writing the story "The Magic Closet", correlates three terms, "entrance" (*entrada*), "door" (*porta*) and "hole" (*buraco*), using as argument the absence of semantic contiguity between "cave" and "door."

In addition to the relevance of the aforementioned oral erasure in mapping text creation, we believe that, from the didactic point of view, its emergence may also be seen as a means to observe the way schoolchildren learn. The identification of the recognized textual objects and the comments prompted by this recognition seem to reflect the teaching content provided by the teacher, the way in which pupils assimilate it, and how they relate it to the manuscript in progress.

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[24] The absence of metatextual or metalinguistic reflection would be a characteristic that Bereiter and Scardamalia (1987) named as *Telling Knowledge Strategy*.

The aforementioned oral erasures would also indicate the productiveness of the interaction between the pair of schoolchildren. The large number of oral erasures and the different types of comments they elicit can be considered a reliable means to ascertain the quality of the interaction between the pupils and the differences in their linguistic knowledge and textual skills. They could also be seen as a relevant means to diagnose student learning, suggesting which contents could be given greater or lesser emphasis by the teacher in the early education of these schoolchildren as text producers.

■ *RESUMO: Este estudo tem por objetivo analisar os comentários semânticos feitos por uma díade de alunas recém-alfabetizadas (6 a 8 anos), durante processos de escritura em tempo real. Filiado ao campo de estudos proposto pela Genética Textual, a partir de uma abordagem enunciativa, tratamos como unidade de análise o Texto Dialogal (TD) estabelecido na interação face-a-face, respeitando sua dimensão multimodal (gestos, expressões, movimentos corporais) e a fala espontânea e co-enunciativa dos alunos em dupla. O TD se constitui pelo reconhecimento por um dos locutores de objetos textuais (OT) e os comentários relacionados a esses objetos. A relação entre os OT reconhecidos e os comentários semânticos é definida como um tipo de Rasura Oral Comentada (ROC). Nossa análise tomou por base um corpus constituído pelo registro fílmico de 16 processos de escritura de histórias inventadas por uma mesma díade de alunas. Discutimos a ocorrência deste tipo de ROC em 3 processos de escritura. Nossos resultados indicam que os comentários semânticos dirigidos aos OT visavam ao estabelecimento da unidade textual, indicando o modo como as alunas estavam pensando sobre este problema durante o manuscrito em curso. A relação entre os OT e os comentários semânticos proferidos mapeou a gênese e o processo de criação textual. Além disso, as ROC semânticas evidenciam conhecimentos linguísticos e textuais dos alunos que não são possíveis de se identificar no manuscrito acabado.*

■ *PALAVRAS-CHAVE: Sala de aula. Produção textual. Diálogo. Escrita. Autoria. Manuscrito. Rasura.*

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CONSTRUCTION OF REFERENTIAL NETWORK IN TEXTS AND THEIR CONNECTIONS WITH THE PRODUCTION CONTEXT

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- ABSTRACT: From a functionalist perspective, this article discusses aspects of the construction of the referential network of texts in narrative sequences from a sample of Brazilian novels in three subsequent periods. The aim is to verify the relationship between the way the referential slots are fulfilled (especially regarding the central characters of the plot) and the various processes involved in the creation mode and maintenance of the textual referential network in different situations. It builds up as the basic concept that the phoric (pro)nominal elements (nominal or pronominal phrase) perform in different ways the two essential functions in the referential process (the identification and the description of the referents), and that the set of positions in the introduction and maintenance of these elements represents a different choice in the configuration of the piece. Confirming the most basic functionalist principles, the analysis performed destroys the notion that there is a model in the grammar of the language to the referential organization of the text, and ensures the notion that the differences found work to the co-enunciative plan of the speaker inserted in the context of production and in his cultural context (HALLIDAY, 2004).

- KEYWORDS: Functionalist principles. Textual reference. Context of production. Narrative sequences from novels.

Introduction

This article discusses aspects of the construction of the referential network in textual organization from the analysis of the formal mode of introduction and maintenance of the discourse of objects in a sample of narrative sequences from Brazilian novels, a genre typically produced from narrative, obviously interspersing other several types of text, but, in general, putting them at the service of textual progression. It has been

already considered that different textual sequences (basically, narrative, descriptive and argumentative) are solved in different constructions of the referential network in texts, and especially because in each of them the set between the identification and the description of the referents has to be solved in a different way, exactly the two functions that meet the (pro)nominal phrases, in the textual construction of meaning (NEVES, 2006, [2017]).

The material of the analysis is composed of excerpts (more specifically, the initial page, or part of it) of some works of genre novel in Brazil in three subsequent periods classified as Realism, Modernism and Contemporaneity. This study does not intend to offer proposals for direct relationship among the different forms of linguistic expression and the different literary movements. However, within the functionalist orientation of analysis adopted here (HALLIDAY, 1973, 1978, 1989, 2004; HALLIDAY; MCINTOSH; STREVENS, 1964; EGGINS, 2010; NEVES, 2010), it was sought to detect, considering the organization of the textual network, possible differences linked to a production context, term defined in these theoriticians' works as the situation context added to the culture context in their historical time. In any case, it is understood that, especially in literary works, particular aesthetic guidelines are inserted in different and successive contexts.

The referential network in texts

The referential process studied here, from the textual type chosen for analysis, contemplates narrative sequences. In order not to multiply variables regarding the textual organization, only one type of textual sequence was chosen, the narrative, because, in the novels, this is the sequence that, in general, introduces the characters, and form the text structure, as already mentioned.

From a perspective of text linguistics, reference is seen as a construction and reconstruction of 'objects of discourse', which should be conceived as products — mainly cultural products — of cognitive and interactive activity of speaking subjects (APOTHÉLOZ; REICHER- BÉGUELIN, 1995, p 228); from a perspective of the functionalist theory of language, seen in the general consensus, but especially developed in Dik (1997, p.130), reference is considered the introduction and identification of referents in the processing of linguistic interaction and must be conceived as the establishment of communicative relations. In any case, according to Neves (2006, p.76), it is understood that, populating the scenes enabled in predications, the referents are introduced as objects of discourse and as such are kept, according to dependent strategies of textual formulation, working for discursiveness (seen in its configuration in "textual forms" according to Castilho (2010, p.133)).

It is from frames installed by the cooperative activity between speaker and hearer that objects being constructed in the/by the speech create the basis for the textual progression, "regulated by an intricate relationship among linguistic, cognitive

and sociocultural activities" (RONCARATI, 2010, p. 44). Thus, in the process of identification and interpretation of a referent, there is more than a simple recovery, searching necessarily for the recognition of belonging of this referent to 'any world' (MONDADA; DUBOIS, 2003), which represents, in this research, the configuration of characters in the world of that particular plot, socio-culturally installed.

In the service of creating the referential network are the phoric elements that meet the referential slots: noun phrases (composed of more than one manner), pronoun or zero. Populating the text structure these elements fulfill two essential functions: the identification of referents, and their description. The identification (when full) of the referent represents the establishment of a single person in the discursive universe created. The description, in turn, is the representation – to a greater or lesser degree – of traces of the referent representation in order to set it semantically and, then, to define its status in the plot of text representations inserted in the context (NEVES, [2017]).

According to this proposal (NEVES, [2017]), the role of identification, which is the basic element in the referential function and that all referential phrases can play, is set at four different levels: (i) the maximum degree of identification is provided by the noun phrases represented by a proper name, which establishes unequivocally (in context) an individual; (ii) the average degree of identification is provided by the nominal phrase represented by a common noun, which identifies the element in a relative form, by means of the description of the named class (and possible modifiers participate in this description), and possible remission provided by phoric determinants, such as the article, the demonstrative and possessive; (iii) the low level of identification is provided by a phrase represented by a personal pronoun of the third person, which only operates indirect identification by remission and is limited to reveal the grammatical person of the referent, and, at most, their gender; (iv) the zero degree of identification, i.e., no formal identification portion, is represented by the empty phoric slot, the ellipse, the zero, for this reason this referential process is not explored in this article. On the other hand, regarding the referential role of description, Neves ([2017]) proposes a reverse route to which the author equates to the reference role of identification: the maximum degree is in the noun phrase with a nucleus represented by a common noun (and with possible determinants and modifiers).

Bases and characteristics of the proposal. The analysis of the construction of the referential network according to the form of fulfilling the nominal slots

Let us assume, initially, as a form of conducting the analysis, the basic functionalist lesson according to which, in language use, the speaker has choices, and grammar organizes the options in some sets within which the speaker makes simultaneous selections (HALLIDAY, 1973, 2004). This indication is derived from the basis of which the author proposes his systemic-functional grammar, which is a systemic theory

of meaning as a choice, by which the language – like any other semiotic system – is interpreted as a block of option networks: this one, or that one, or the other, and so on. To this purpose, there are only two original indications (among dozens) by Halliday (2004), highlighted by the authors of this article:

> The Process and the Medium together form the nucleus of an English clause; and this nucleus then determines the range of options that are available to the rest of the clause. (HALLIDAY, 2004, p.289, emphasis added).

> These different options are available to speakers and writers when they construe their experience of the flow of events. (HALLIDAY, 2004, p.521, emphasis added).

The statement starts from the choices the speaker makes when he composes the statement for a specific purpose, and he produces meaning with them. This language setting as a network of options is an essential characteristic of the systemic-functional proposal, as illustrated by this excerpt (emphasized by the authors of this article), which is among many of the same content by Halliday (2004, p.9, highlighted by author):

> This is not an arbitrary 'rule'. It is what explains the fact that such an instance is selecting simultaneously in systems of every rank: Come! is an 'imperative' (as opposed to 'indicative') clause, a 'positive' (as opposed to 'negative') verbal group, a base (as opposed to derived) form of the verb (word).

Neves (2006) emphasizes, within this proposal, the organizational freedom of the speaker within the constructional restrictions, because the speaker automatically processes regular structures of the language, but makes the choices that lead to results of meaning and pragmatic effects.

In this sense, the present research, regarding the way of fulfilling the nominal slots for analysis of the construction of the referential network of the text starts from the especially particular qualitative verification of different grammatical filling schemes (noun phrase, pronoun or zero), seeking a semantic and pragmatic interpretation of the relationship between the fulfilling form of these slots and the several processes involved in the way of creating and maintaining the textual referential network: accessibility and identifiability; information flow and information distribution; coreference and establishment of the referential network. Obviously, some aspects of enunciation-enuncive set, established on the referential network, connect in a particular way to the difference among the types of textual sequence (considering that specifically narrative sequences are treated here).

The analyzed passages are part of the following novels[1]: in Realism, *A carne*, by Júlio Ribeiro (1888), *O cortiço* [published in English as *The Slum*], by Aluísio Azevedo (1890); in Modernism, *Alma*, by Oswald de Andrade (1978), *Amar, verbo intransitivo*, Mário de Andrade (2008); in Contemporaneity, *O filho eterno* [published in English as *The Eternal Son*], by Christopher Tezza (2007), and *Vozes do deserto* [published in English as *Voices of the Desert:* A Novel], by Nelida Piñon (2006)[2].

Delimiting the referential slots in a more specific way for examination, it was determined as an analysis center the introduction of referents 'characters' from the beginning of each work (usually protagonists), based on the fact that, in the novel, in general, characters are the elements from which and around which the story takes place and the scenarios are set. Based on this first incursion, it was constituted, in one of the examined works, a sample in which the analysis extended to parts of the composition of the scenario (the referents were attached to the notion of location), to demonstrate the subordination that the introduction of these locative referents keeps with the central referents, the characters.

Taking into account the fact that the excerpts employed in the analysis in this research belong to novels from different eras (Realism, Modernism and Contemporaneity), the aim is to evaluate a possible connection between the forms of expression of the referents and the environment of the context of production, involved in the context of culture (HALLIDAY, 2004). As already pointed out, the research corpus was defined, in principle, as the beginning of each novel, for observing the form of introduction of each of the first objects of speech protagonizing scenes. For the evaluation, the time of the novel construction was considered, thus this work will be presented in the chronological order of production of the works examined.

The operationalization of the proposal. A sample of analysis of the referential network configuration in the texts

According to the aforementioned, it is assumed as a central guideline of assessments that, connected to the form of introducing the characters, the way of its identification as well as the form of its characterization (NEVES, [2017]) are found, being both processes considered absolutely crucial in the plot, in the story line. It is about assessing the form of guiding the referential creation in each sample, which results fundamentally from the form of introducing the referent. In the adopted line, it is about the verification, the narratives, the different choices of authors related to the phrases of introduction of

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[1] For transparency regarding the time of production of the works, at this point, it is registered the use of the dates of their first edition. As for the list novels analyzed, the choice was random: among several novels of the period being consulted, the first ones narrated in the third person were selected.

[2] Labels that traditionally qualify certain literary periods were used here. The same corpus of analysis served Souza (2013), who, with more general purposes, also included the phoric elements used in the introduction and maintenance of characters.

referents: with greater initial weight in identifying the character, or more initial weight in his or her description (characterization) and the results coming from it.

Considering the chronological order of the production of the works, let us take Realism to start with. To introduce the issue, the opening sentence of the novel *A carne*, by Júlio Ribeiro, is taken, in which the first character is introduced by the noun phrase o doutor [doctor] **Lopes Matoso**. This phrase fits the maximum degree of identification (as proposed here), because it brings the complete identity of the character (the compound surname, **Lopes Matoso**, the 'name' by which he is called throughout the work) and also comes with a descriptive component (the information contained in the common name doutor, which brings to this already individualized character a characterization by a certain angle). A biographical data is added, which composes the predications made to this subject, being the introduction of the character already heavily provided with a characterization (the character is 'not happy')[3]:

> O doutor **Lopes Matoso**[4] não foi precisamente o que se pode chamar de um homem feliz.
> (Aos dezoito anos de sua vida, quando apenas tinha completado o seu curso e preparatórios, perdeu pai e mãe com poucos meses de intervalo.) (RIBEIRO, 1996, p.21).

> [Doctor **Lopes Matoso** was not exactly what you might call a happy man.[5]
> (At eighteen, when he had just finished school and the preparatory course, he lost his father and mother with a few months apart)]. (RIBEIRO, 1996, p.21, translated by the authors).

The other Realism novel selected for analysis, *O cortiço* [The Slum], by Aluísio Azevedo, also brings the first character introduced by his own name (**João Romão**), thus in maximum degree of identification.

> **João Romão** foi, dos treze aos vinte e cinco anos, empregado de um vendeiro que enriqueceu entre as quatro paredes de uma suja e obscura taverna nos refolhos do bairro do Botafogo. (AZEVEDO, 1988, p.13).

> [Between the ages of thirteen and twenty-five, **João Romão** worked for the proprietor of a dingy and squalid but profitable tavern and general store in the back streets of Botafogo. (AZEVEDO, 2000, p.13).]

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[3] When registering the referential phrases in the analyzed excerpts, it was conventionalized to represent names in bold, phrases nucleated by a common name are underlined, and personal pronouns in bold and italic.

[4] Reference by name will be marked with bold, reference by nominal phrase nucleated by common noun will be underlined, reference by personal pronoun will be marked with bold and italic and reference by zero will be indicated by the symbol ∅, when this indication is pertinent.
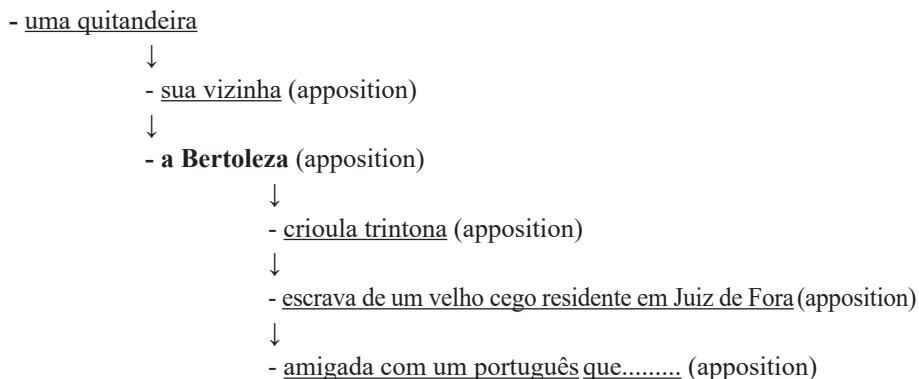
[5] For the quotes, the dates are from the issues consulted.

Then, the second character is introduced, who comes in direct connection with João Romão (recovered by the pronoun **_lhe_**), since it is presented as the provider of João Romão's meals. Again the character settles with the maximum degree of identification, since she is presented by a nucleated noun phrase by its own name: **a Bertoleza**.

> Dormia sobre o balcão da própria venda, em cima de uma esteira, fazendo travesseiro de um saco de estopa cheio de palha. A comida arranjava-***lhe***, mediante quatrocentos réis por dia, <u>uma quitandeira sua vizinha</u>, **a Bertoleza,** <u>crioula trintona</u>**,** <u>escrava de um velho cego residente em Juiz de Fora</u> <u>amigada com um português que tinha uma carroça de mão e fazia fretes na cidade</u>. (AZEVEDO, 1988, p. 13).

> [He slept on a straw mat on the counter, using a burlap sack stuffed with straw for his pillow. His meals were prepared, for 400 réis a day, by **Bertoleza**, <u>a black slave some thirty years old</u>. Bertoleza sold food at a stand in front of her shack and <u>belonged to an old, blind master who resided in Juiz de Fora. She lived with a Portuguese who owned a handcart, with which he made his living downtown</u>. (AZEVEDO, 2000, p.13).]

This name appears (in nominal apposition) after the character has already been introduced by a noun phrase nucleated by a common noun (<u>uma quitandeira</u>), which also receives (as apposition) more three descriptive (characterizing) specifications, as outlined below:

- <u>uma quitandeira</u>
   ↓
   - <u>sua vizinha</u> (apposition)
  ↓
  - **a Bertoleza** (apposition)
     ↓
     - <u>crioula trintona</u> (apposition)
     ↓
     - <u>escrava de um velho cego residente em Juiz de Fora</u> (apposition)
     ↓
     - <u>amigada com um português que.........</u> (apposition)

That is, in a scheme of visible search description of characters, this long sequence of nominal phrase (relating to a completely identified character) brings characterizations obtained referentially by common names (highly descriptive elements), and increasingly specified, built recursively with entry of new nominal phrase on the right (with common nouns, thus new descriptions), as it is seen in this unfolding scheme:

(- a Bertoleza)

      ↓

    - <u>escrava</u> (apposition)

          ↓

       - de <u>um velho cego</u> residente em Juiz de Fora

      ↓

    - <u>amigada</u> (apposition)

          ↓

       - com <u>um português</u> que tinha uma carroça de mão e fazia fretes na cidade

              ↓

           - que tinha <u>uma carroça de mão</u>

           - e fazia <u>fretes na cidade</u>

Explanation: individualization is completely searched, either through an unequivocal identification installed, or through the description of a character which has already been characterized to some extent before the plot is developed.

In order to avoid analyzing only two examples from works strongly regarded as belonging to Realism, the first paragraph of the novel *Quincas Borba*, by Machado de Assis, from the same period (1889), is shown below and consensually considered as having the same aesthetics, although having an evidently contained style:

> **Rubião** fitava a enseada, — eram oito horas da manhã. Quem *o* visse, com os polegares metidos no cordão do chambre, à janela de uma grande casa de Botafogo, cuidaria que *ele* admirava aquele pedaço de água quieta; mas, em verdade, vos digo que pensava em outra coisa. Cotejava o passado com o presente. Que era, há um ano? <u>Professor</u>. Que é agora? <u>Capitalista</u>. Olha para si, para as chinelas (umas chinelas de Túnis, que *lhe* deu recente <u>amigo</u>, **Cristiano Palha**), para a casa, para o jardim, para a enseada, para os morros e para o céu; e tudo, desde as chinelas até o céu, tudo entra na mesma sensação de propriedade. (ASSIS, 2012, p.47).

> [**Rubião** was staring at the cove — it was eight o'clock in the morning. Anyone who'd seen *him* with his thumbs stuck in the belt of his dressing gown at the window of a mansion in Botafogo would have thought *he* was admiring that stretch of calm water, but in reality I can tell you he was thinking about something else. He was comparing the past to the present. What was he a year ago? <u>A teacher</u>. What is he now? <u>A capitalist</u>. He looks at himself, at his slippers (slippers from Tunis that his new friend **Cristiano Palha** had given *him*), at the house, at the garden, at the cove, at the hills, and at the sky, and everything, from slippers to sky, everything gives off the same feeling of property. (ASSIS, 1999, p. 47).]

When the plot is established, the characters, introduced by name, are already identified: **Rubião** and **Cristiano Palha**, being the last registered (in bracketing) with name and last name. Both Machado's characters are also described by the common noun <u>amigo</u>, that is used for both due to reciprocity (friends of each other). And Rubião, the protagonist, is especially described with the two predicative received after his introduction in the text (expressed by nominal phrases nucleated by common nouns: <u>teacher</u> and <u>capitalist</u>). That is, there is a very characterizing description (even historically), as shown in the scheme below:

- **Rubião**

↓

- era <u>professor</u>

↓

- tornou-se <u>capitalista</u>

It is worth noting that these two indications (<u>professor</u> and <u>capitalista</u>) are highlighted by Machado's form of construction: each of them comes in response to a formal question: 'What was he a year ago?' 'What is he now?'.

Following these thinking, samples of authors of Modernism, without intending to affirm that there are clear excerpts to be sought, considering the form of expression, absolutely determined by different aesthetics. However, even though this rigid determination has not been sought centrally, it is possible to verify in the works of this new period of Brazilian literary history that, although – obviously – there are also characters that are well identified and/or characterized by proper name and nominal syntagma with use of common noun (respectively), there are ways of introducing less canonical characters, which did not occur in Realism novels (at least not in the randomly selected sample here analyzed), and also less canonical, if considering the narrative sequences in general.

First, an excerpt of *Alma*, by Oswald de Andrade, with the introduction of (three) actants also operated by nominal phrases nucleated by common noun (<u>o velho</u> and <u>o cãozinho</u>) or by proper name (**Alma**), but with much lower degree of specification:

> <u>O velho</u> e <u>o cãozinho</u> foram andando na sombra enjoada da tarde. Tinham passeado muito. [...] **Alma** havia regressado naquele instante. (ANDRADE, O., 1978, p.5).

> [<u>The old man</u> and <u>the dog</u> were walking under the nauseated afternoon shade. They had taken a long walk. [...] **Alma** had returned at that moment. (ANDRADE, O., 1978, p.5, translated by the authors).]

A lower specification (lower level of characterization) also occurs in the second paragraph, when the other central character is introduced through the use of a personal

pronoun – *ele contara* – element that does not identify nor describes the referent, except for the [male] gender feature. And only in the third paragraph the character is identified by a proper name (**Mauro**):

> Pensava: por que será que quando uma porta me machuca, me faz sofrer; quando bato a cabeça numa janela, choro de dor; e ele pode me cortar a navalha, não dói: é delicioso!
> Mas lembrou-se da Odete, que estivera com **Mauro** no teatro, *ele* contara. E ficou dizendo sufocadamente no quarto:
> — Canalha! Bandido! Miserável! Miserável! (ANDRADE, O., 1978, p.5).

> [He thought: why is it that when a door hurts me, it makes me suffer; when I hit my head on a window, I cry in pain; and he can cut me with the razor, it does not hurt: it's delicious!
> But he remembered Odete, who had been with **Mauro** at the theater, *he* had told. And he said suffocatingly in the bedroom:
> - Scoundrel! Knave! Miserable! Miserable! (ANDRADE, O., 1978, p.5, translated by the authors).]

In this case, therefore, the scheme is absolutely the opposite of what has been established to this point, regarding the use of identifiability and definition of the referent in the creation of the referential network: in the introduction of the character it is not even an identification (a proper name) nor a description (a phrase having a common noun as its nucleus). Now the identification (without providing any characterization) comes after a simple reference for a grammatical word, a pronoun, a mere phoric textual element, built in cataphora:

- *ele*
  ↑
  - **Mauro**

     ↑

Even more representative cases (because consisting of multiple non-canonical references) occur in *Amar, verbo intransitivo*, by Mário de Andrade, another modernist text:

> A porta do quarto se abriu e *eles* saíram no corredor. Calçando as luvas **Sousa Costa** largou por despedida:
> — Está frio.
> *Ela* muito correta e simples:

— Estes fins de inverno são perigosos em São Paulo.

Lembrando mais uma coisa reteve a mão de adeus que o outro lhe estendia.

— E, senhor... sua esposa? Está avisada?

— Não! A senhorita compreende... Ela é mãe. Esta nossa educação brasileira... Além do mais com três meninas em casa!...

— Peço-lhe que avise sua esposa, senhor. Não posso compreender tantos mistérios. Se é para o bem do rapaz.

— Mas senhorita...

— Desculpe insistir. É preciso avisá-la. Não me agradaria ser tomada por aventureira sou séria. [....]

Falava com a voz mais natural desse mundo mesmo com certo orgulho que **Sousa Costa** percebeu sem compreender. Olhou pra *ela* admirado e, jurando não falar nada à mulher, prometeu.

Elza viu *ele* abrir a porta da pensão. Pâam... Entrou de novo no quartinho ainda agitado pela presença do estranho (ANDRADE, M., 2008, p. 19).

[The bedroom door opened and *they* went out in the hallway. Putting the gloves on, **Sousa Costa** said:

— It is cold.

She, very correct and simple:

— This end of winter is dangerous in São Paulo.

Recalling something else, she held the goodbye hand that he held out to her.

— And, sir ... your wife? Has she been informed?

— No! You understand... She is the mother. Our Brazilian education... Besides, having three girls at home! ...

— I ask you to let your wife know, sir. I can't understand so many mysteries. If it's for the good of the young man.
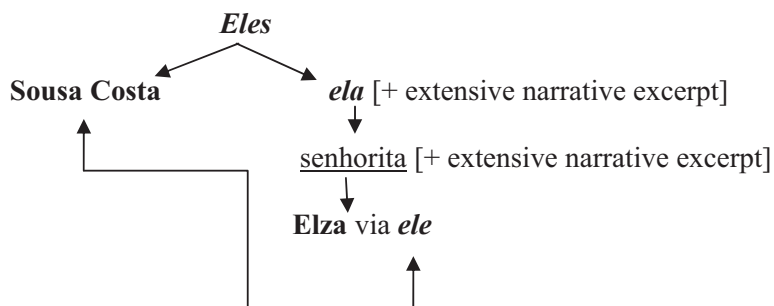
— But...

— Sorry for insisting. We must warn her. I would not like to be taken by an adventurous woman, I am serious. [....]

She spoke with the most natural voice in this world and even with some pride that **Sousa Costa** realized without understanding. He looked at *her* with admiration, and swearing not to say anything to his wife, he promised.

Elza saw *him* opening the door of the pension. Paam... He entered the little room again, still agitated by the presence of the strange. (ANDRADE, M., 2008, p.19, translated by the authors).]

In this case, the referential introduction of the first character occurs by personal pronoun, the pronoun *eles*, now a plural. This pronoun brings only the information

that there is more than one character acting in the scene and that at least one of them is male. As it occurs with **Alma** (in the novel *Alma*), in this case, one of the characters included in the plural pronoun (the male) is soon identified in the maximum degree (with the compound surname: **Sousa Costa**). The other character included in the pronoun *eles*, however, is inserted in the text in a non-canonical way: she is referred to by an element that does not characterize (and that identifies only a little), the personal pronoun *ela* (again a pronoun of third person), which occurs twice, and that only at the end of the excerpt is taken by a proper name (**Elza**), which already establishes the suspense that will involve this character throughout the novel. The only characterization of this female character (for common noun) is in a form of treatment occurring in the dialogue: senhorita. This is the illustrative scheme of the network created:

Eles

Sousa Costa   *ela* [+ extensive narrative excerpt]

senhorita [+ extensive narrative excerpt]

Elza via *ele*

In fact, it is only on the next page, when the arrival of Elza to Sousa Costa's family home on a 'Tuesday' is narrated, that a characterization appears. That's when the couple's daughter says to her mother: "A governanta está aí! mamãe! a governanta está aí!"

Moving forward to the Contemporaneity, it is observed that this little identifying and almost null form of introducing a referent (i.e., the reference by a simple grammatical element, a 'pronoun') is taken even further ahead. The two works of this period (randomly) highlighted as corpus of analysis present a form of introducing (and also adopted in maintenance) the central characters in which there is no insistence in an initial and unequivocal, complete and ready identification, or in detailed characterization to support the plot. That is what can be observed regarding texts from the Realism period.

This is the beginning of *O filho eterno* [The Eternal Son], by Cristóvão Tezza:

> – Acho que é hoje – *ela* disse. – Agora – completou, com a voz mais forte, tocando-*lhe* o braço, porque *ele* é um homem distraído.
> Sim, distraído, quem sabe? Alguém provisório, talvez; alguém que, aos 28 anos, ainda não começou a viver. A rigor, exceto por um leque de ansiedades felizes, *ele* não tem nada, e não é ainda exatamente nada. E

essa magreza semovente de uma alegria agressiva, às vezes ofensiva, viu-se diante da mulher grávida quase como se só agora entendesse a extensão do fato: um filho. Um dia ele chega, *ele* riu, expansivo. Vamos lá! A mulher que, em todos os sentidos, *o* sustentava já havia quatro anos, agora era sustentada por *ele* enquanto aguardavam o elevador, à meia-noite. *Ela* está pálida. As contrações. A bolsa *ela* disse – algo assim. *Ele* não pensava em nada – em matéria de novidade, amanhã *ele* seria tão novo quanto o filho. Era preciso brincar, entretanto. Antes de sair lembrou-se de uma garrafinha caubói de uísque, que colocou no outro bolso; no primeiro estavam os cigarros. (TEZZA, 2010, p.9).

['I think it's today,' *she* said. 'Now,' she added, her voice stronger, touching his arm because *he* was absent-minded.

Yes, he was absent-minded, possibly. Someone makeshift, perhaps; someone who, at the age of twenty-eight, still hadn't begun to live. Strictly speaking, except for an array of happy anxieties, *he* didn't have anything, nor was he anything yet, exactly. And this walking, talking bag bones, full of aggressive, oft-times offensive cheer, saw himself before his pregnant wife almost as if he had only now understood the full extent of the fact: a baby.

'So today's the day,' *he* said, laughing expansively. 'Let's go!'

His wife, who had supported *him* in every sense for the last four years, was now supported by *him* while waiting for the lift, at midnight. *She* was pallid. Contractions. My water, *she* said, or something to that effect. *He* didn't think a thing – as far as newness went, tomorrow *he*'d be as new as his baby. In the meantime, he needed some make-believe. Before living, he'd remembered to slip a little cowboy-style flask of whisky into his other pocket. In the first were his cigarrettes. (TEZZA, 2013, p. 9).]

Then, the two characters (a man and a woman) enter, separately, in the text, introduced by personal pronouns, and one of them, the male character – even more significantly – enters through a pronoun, maximally not identificator and maximally not descriptor: *lhe*. Only ahead does the reference by the pronoun subject form – *he* – offer, at least, the gender of the character.

There are no less than three personal pronouns in the first paragraph of the novel, introducing the two characters. In the first line, the protagonist enters by the expression of the personal pronoun *ela*, phoric choice that allows the reader (as it happened to the character **Elza**, in *Amar, verbo intransitivo*) only to identify that it is a female entity, and a character (it is known that she is human, not due to any descriptive reference, but only because she practices human actions). She is recovered twice by the same pronoun (*ela*) and once by ellipse, phoric fulfilling types which also confer no characterization.

A defined description is obtained when, at the end of the following paragraph, the character is recovered by the nominal phrase a mulher grávida: 'viu-se diante da mulher grávida.' Only this brief description of the woman is provided so far.

Regarding the other protagonist (introduced, also in the first paragraph, by the pronoun *lhe*, as already indicated), only later, in the second mention of the pronoun (*ele*), the reader can identify, at least, that it is a male character because the first reference was made by the pronoun *lhe*, unspecific as to the genre, 'completou, com a voz mais forte, tocando-*lhe* o braço, porque *ele* é um homem distraído.' The first reference that, being operated by the nominal phrase, brings therefore some description – **essa magreza semovente** –, only appears in the next paragraph, and calls attention to the preceding sentence because the nominal expression encapsulates part of the information related to the character, already provided in that predication (FRANCIS, 2003; KOCH; ELIAS, 2012). That is, no urgency in setting characteristically the character was observed, differently from what was verified as common in blocks of text from previous periods analyzed in this article.

This is the singular referential scheme of the sequence:

ela	*lhe*
↓	↓
mulher grávida	*ele*
↓	↓
a mulher	*ele*
↓	↓
ela	essa magreza semovente
↓	↓
ela	*ele*
	↓
	o
	↓
	ele
	↓
	ele
	↓
	ele
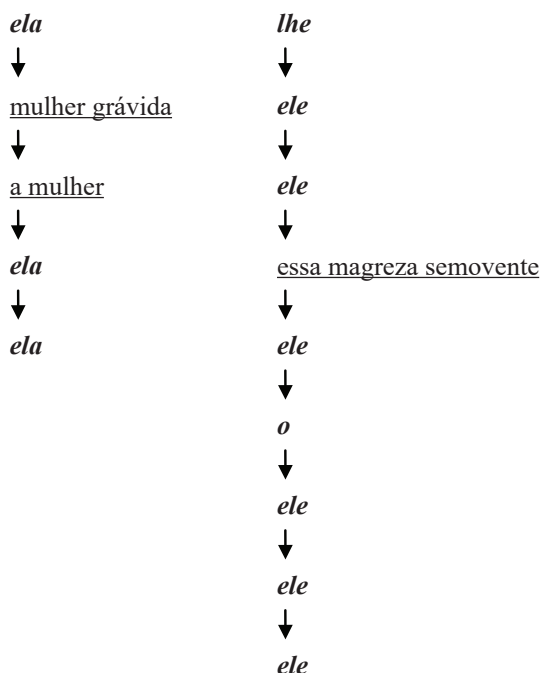
It can also be verified what happens in the introduction of another entity, which is quoted (it is not a character), entering by the relationship with the male protagonist: um filho, recovered by *ele* and o filho. The scheme is similar, with a general characterization:

[...] E essa magreza semovente de uma alegria agressiva, às vezes ofensiva, viu-se diante da mulher grávida quase como se só agora entendesse a extensão do fato: um filho. Um dia *ele* chega, ele riu, expansivo. (TEZZA, 2010, p. 9).

[...] Ele não pensava em nada – em matéria de novidade, amanhã ele seria tão novo quanto o filho. (TEZZA, 2010, p. 9).

[[...] And this walking, talking bag bones, full of aggressive, oft-times offensive cheer, saw himself before his pregnant wife almost as if he had only now understood the full extent of the fact: a baby.

'So today's the day,' he said, laughing expansively.

[...] He didn't think a thing – as far as newness went, tomorrow *he*'d be as new as his baby. (TEZZA, 2013, p. 9).]

Now considering the second novel of Contemporaneity chosen for this article, *Vozes do deserto* [Voices of the Desert], by Nelida Piñon (2006), is in a different progress regarding the referential construction of the characters, but it can be said that the author prescinds from formal text identifications (for example, last names) as well as characterizations that bring high specifications. Again, the initial paragraphs of the work in question will be analyzed:

Scherezade não teme a morte. ∅ Não acredita que o poder do mundo representado pelo Califa, a quem o pai serve, decrete por meio de sua morte o extermínio da sua imaginação.

∅ Tenta convencer o pai de ser a única capaz de interromper a sequência das mortes dadas às donzelas do reino. ∅ Não suporta ver o triunfo do mal que se estampa no rosto d**o Califa**. ∅ Quer opor-se à desdita que atinge os lares de Bagdá e arredores, oferecendo-se ao soberano em sedicioso holocausto.

O pai reage ao ouvir sua proposta. ∅ Suplica que ∅ desista, sem alterar a decisão da filha. ∅ Volta a insistir, desta vez, golpeando a pureza da língua árabe, ∅ pede emprestadas as imprecações, as palavras espúrias, bastardas, escatológicas, que os beduínos usavam indistintamente em meio à ira e aos folguedos. Sem envergonhar-se, ∅ lança mão de todos os recursos para convencê-*la*. Afinal a filha *lhe* devia, além da vida, o luxo, a nobreza, a educação refinada. ∅ Pusera-*lhe* à disposição mestres em medicina, filosofia, história, arte e religião, que despertaram a atenção de **Scherezade** para aspectos sagrados e profanos do cotidiano que jamais ∅ teria aprendido, não fora a ingerência do pai. (PIÑON, 2006, p.7-8).

[**Scherezade** does not fear death. ∅[6] [She] doesn't believe that the power of the world represented by <u>the Caliph</u>, whom <u>her father</u> serves, determines, through his death, the death of <u>her imagination</u>.

∅ [She] tries to convince <u>her father</u> she is the only one able to stop the sequence of deaths imposed to the maidens of the kingdom. ∅ [She] can't stand seeing the triumph of evil on the **Caliph**'s face. ∅ [She] wants to oppose the misfortune in the homes of Baghdad and surrounding areas, offering herself to <u>the sovereign</u> in seditious holocaust.

<u>Her father</u> reacts when he hears her proposal. ∅ [He] begs ∅ [her daughter] to give up without changing <u>his daughter's</u> decision. ∅ [He] insists again, this time striking the purity of the Arabic language, ∅ borrowing imprecations, spurious, bastard, scatological words the Bedouins used interchangeably amid anger and mirth. With no shame, ∅ [he] makes use of all resources to convince **her**. Because <u>his daughter</u> owes **him**, beyond life, luxury, nobility, refined education. ∅ [He] put at **her** disposal masters in medicine, philosophy, history, art and religion, which attracted **Scheherazade**'s attention to sacred and profane aspects of daily life that ∅ [she] would never have learned, without her father's interference. (PIÑON, 2006, p. 7-8, translated by the authors)].

The points to which attention is drawn in this case are: (i) parsimony in the use of the noun modifiers in the few noun phrases that are inserted to reference the three characters (**Scherezade**, <u>o/seu pai</u> and <u>Califa</u>, term marked with the capital letter as a proper name, but which actually is the name of a person, considering his position); (ii) obtaining information on the characters by the actions and the processes that take part (verbal predications), not by their characteristics or attributes (using active modifiers in the nominal syntagma) indicated referentially; (iii) consequently, the creation of the relationship among the characters with the use of personal and possessive pronouns (in addition to the articles, which work as possessive pronouns), exclusively phoric elements, devoid of any semantic indication other than the establishment of 'relationships': <u>o</u> (seu) <u>pai</u>, <u>sua morte</u>, <u>o</u> (seu) <u>soberano</u>, <u>sua proposta</u>, <u>a</u> (sua) <u>filha</u> (repeatedly); (iv) finally, the functionality of the reference by 'zero' in the textual construction (issue not discussed in this text).

One may ask, then, how the forward plot of the narrative is built. What can be seen are predicates (in the present tense) leading to abstraction of attributes and characterizations. For example, there are characterizations both for Scherezade and for her father, only captured in predications in which characters are involved, not descriptively expressed in nominal portions of the statements: 'Scherezade não teme a morte.'; '∅ Tenta convencer <u>o pai</u> [...].'; "∅ Não suporta ver o triunfo do mal [...]'; '∅ Quer opor-se à desdita [...].'; '<u>O pai</u> reage ao ouvir <u>sua proposta</u>. ∅ Suplica que

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6   Specifically in this text, the unexpressed subject (zero subject) is marked with ∅.

desista, sem alterar a decisão da filha.'; 'Volta a insistir [...]. Therefore, it is a narrative configuration minimally supported by particularizations of nominal nature, i.e., minimally obtained by reference expedients.

An incursion into the referential configuration scenario

The same excerpt, from the novel *Amar, verbo intransitivo*, analyzed to verify the degree of identification and characterization of the characters, is now taken as sample to verify the introduction and maintenance of textual referents, if not only characters are considered, but also other references that compose the referential network of the text. It is the construction of the scenario for these characters to act, and, more specifically, in the beginning of the novel, the performance of the protagonists:

> A porta do quarto se abriu e *eles* saíram no corredor. Calçando as luvas **Sousa Costa** largou por despedida:
> ─ Está frio.
> *Ela* muito correta e simples:
> ─ Estes fins de inverno são perigosos em São Paulo.
> Lembrando mais uma coisa reteve a mão de adeus que o outro lhe estendia.
> ─ E, senhor... sua esposa? Está avisada?
> ─ Não! A senhorita compreende... Ela é mãe. Esta nossa educação brasileira... Além do mais com três meninas em casa!...
> ─ Peço-lhe que avise sua esposa, senhor. Não posso compreender tantos mistérios. Se é para o bem do rapaz.
> ─ Mas senhorita...
> ─ Desculpe insistir. É preciso avisá-la. Não me agradaria ser tomada por aventureira, sou séria. E tenho 35 anos, senhor. Certamente não irei se sua esposa não souber o que vou fazer lá. Tenho a profissão que uma fraqueza me permitiu exercer, nada mais nada menos. É uma profissão. Falava com a voz mais natural desse mundo mesmo com certo orgulho que **Sousa Costa** percebeu sem compreender. Olhou pra *ela* admirado e, jurando não falar nada à mulher, prometeu.
> **Elza** viu *ele* abrir a porta da pensão. Pâam... Entrou de novo no quartinho ainda agitado pela presença do estranho. *Lhe* deu, um olhar de confiança. Tudo foi sossegando pouco a pouco. (ANDRADE, M., 2008, p.19).

> [The bedroom door opened and *they* went out in the hallway. Putting the gloves on, **Sousa Costa** said:
> ─ It is cold.
> **She**, very correct and simple:

— This end of winter is dangerous in São Paulo.

Recalling something else, she held the goodbye hand that he held out to her.

— And, sir ... your wife? Has she been informed?

— No! <u>You</u> understand... She is the mother. Our Brazilian education... Besides, having three girls at home! ...

— I ask you to let your wife know, sir. I can't understand so many mysteries. If it's for the good of the young man.

— But...

— Sorry for insisting. We must warn her. I would not like to be taken by an adventurous woman, I am serious. [....]

She spoke with the most natural voice in this world and even with some pride that **Sousa Costa** realized without understanding. He looked at *her* with admiration, and swearing not to say anything to his wife, he promised.

Elza saw *him* opening the door of the pension. Paam... He entered the little room again, still agitated by the presence of the strange. (ANDRADE, M., 2008, p.19, translated by the authors)].

The first referential phrase of the novel (before the characters enter) is '<u>a porta do quarto</u> se abriu', which makes a locative identification, composing the place where the scene occurs with no details. Not only the nucleus of this phrase (<u>porta</u>) but also the prepositional phrase which specifies this nucleus (<u>do quarto</u>) are determined by the definite article, which builds sufficient identification (due to mutual remission) of space. There is not a second specification locating this <u>room</u> at some specific point in a space already located in relation to a phrase toponimically defined. It is an identification that occurs at the suggestion of internal relations of the text itself, taken into account its genre (novel) and its textual type (narrative): it is simply of <u>that door</u> of <u>that room</u> that the reader identifies as the scene (the first scene) in which the novel develops.

A significant statement to be made in this examination is that this is not the canonical introduction of referent(s) (especially regarding the scenario construction) in a narrative, as it is understood in general. In the case of a noun phrase determined by the definite article, reference almost automatically suggested to narratives, is the one which enters to perform the remission (anaphora) to referents brought into existence in the text (for example, by nominal phrases with indefinite article). This process is almost automatic in common narratives – spontaneous conversation –, reflecting the most basic properties that govern the flow of information (not marked): it's about an undefined configuration (for example, <u>a door</u>, i.e., a sample of the class 'door') that will coin the particular, and therefore identificatory reference by remission (for example, <u>the door</u> = this/that particular <u>door</u>, or: *it*). This is the most common progress of construction of the objects of discourse (including characters) in narratives (from the most spontaneous, which are those of spoken language), because it can be understood as natural – and very

efficient, in a co-enunciative form – the process by which a content base is already provided and that favors interpretations before offering a phrase that brings a pure and simple phoric signaling, including the pronominal phrase. And this assertion that it is a 'natural' process is essential, as seen in this indication (among many others of the same content), by Halliday (2004, p.89):

> The way this structure is realized is essentially 'natural (non-arbitrary), in two respects: (i) the New is marked by prominence; (ii) the Given typically precedes the New. We will look at these two features in turn.

This does not mean that the introduction form found in this text here examined has any inconvenience or impropriety in its opposition to the canonical form: on the contrary, due to the fact that this form of expression represents a 'marked' form (GIVÓN, 1995; LACY, 2006) of discursive scene constitution (FILLMORE, 1968, 1977; MAINGUENEAU; POSSENTI; SILVA, 2012), there are open special effects that will have weight on the – fictional – construction of the plot being developed.

This first predication ('a porta do quarto se abriu'), therefore, creates a defined spatial organization, and the predication that follows ('e eles saíram no corredor') also brings a new locative textual referent (o corredor), identifiable by contiguity to the space already established. A dynamic spatial organization is set, in which the characters referred to by the personal pronoun *eles*, naturally endophoric, because it is a third person case, move from one space to another. At this point, the progress of the narrative is supported, because predications are used in prototypical verbal tenses on the first narrative level, the *foreground* opposed to *background* (HOPPER, 1979), the 'narrated world,' opposed to the 'commented world' (WEINRICH, 1968), the 'speech' opposed to the 'history' (BENVENISTE, 1970).

In the last paragraph, the act of opening the door is taken ('**Elza** viu ele abrir a porta da pensão') by viewer of the act (a referent fully identified: **Elza**), and, again, a reference indicating space is introduced in the predicative formation: a pensão. The space of the narrative is further specified, with location points brought in a configuration that goes from the specific to the general (in centripetal movement), as shown by this referential organization scheme already configured in Souza (2013):

a porta → o quarto → o corredor → | pensão | ← a porta

↑
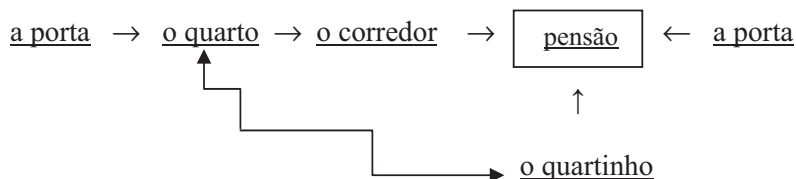
o quartinho

When the room is co-referenced (in new formulation: o quartinho [the small room]), the reader, besides identifying the referent anaphorically, can configure the idea that the

room of the pension is not spacious. Therefore, the direct descriptions always prescind from further characterizations and present a great difference of the general which is found in the texts initially analyzed in this article, belonging to the Realism period.

The final interpretation of the proposal

Finally, interpreting this analysis exercise, as also seen in Souza (2013), it can be said that to identify the elements that compose the referential network in the text does not mean only to capture a logical organization for the construction of meaning, but also to note the use of grammar in the creation of the referential network, and especially to document the flexibility of grammar rules, generally imposed as unchangeable.

Also as seen in Souza (2013), the analysis of the fulfillment of referential slots in the examined sequences destroy some naive notions, for example, that the introduction of referents has a model in the grammar of a language, or that the description and/or the identification of a character has a determined place to appear in the text, or even to that choice in that sense does not bring any special configuration to the narrative. Moreover, the analysis ensures the notion that the possible differences existing in the use of the referential processing work for the co-enunciative plan of the producer's speech, inserted in his production context.

Following this line, it is interesting to appreciate the differences in the sequence of production contexts (for example, represented by what is usually considered as literary movements). These differences certainly present conductions of several discursive production, given the different conditionings of co-enunciative engaging in each time, in each environment, in each moment and in each period of aesthetic standardizations. Certainly, the motivations of a particular socio-cultural and aesthetic experience govern the convenience of establishing high specified and identified characters, while the ones with other degrees are solved with strong presence marks of the character before he receives an unequivocal identification or descriptive characterization that goes further. Moreover, the characterization will not necessarily occur only by the referential process if this option serves the discursive purpose of the text producer.

From the perspective of the reference process view, this fact was a very important finding, revealing, in a documented form (although in only one sample, however, valid, because randomly composed), regarding the inaugural establishment of the referential network in novels, a change of fulfilling choices linked to the historical plan of production. The analysis allowed to observe, especially, a historic renovation of referential strategies for the introduction of the central characters in novels, seen as a result of different socio-cultural contexts, with their variety of aesthetic standards.

After all, the perspective of a grammar that organizes the options in some sets within which the speaker makes simultaneous selections (HALLIDAY, 2004) only confirms the most basic functionalist principles: 'competition of motivations' in the use of language, and 'organizational freedom of the speakers' to make the choices

that lead, besides the production of meaning, to the acquisition of effects (NEVES, 2006), because the excellence of the language comes from them, be it by the efficient functionality or by the aesthetic suggestion.

■ *RESUMO: A partir de uma orientação funcionalista de análise, este artigo discute aspectos da montagem da cadeia referencial do texto, em sequências narrativas de uma amostra de obras brasileiras do gênero romance, em três épocas subsequentes. O objetivo é verificar a relação que existe entre o modo de preenchimento das casas referenciais (especialmente quanto às personagens centrais da trama) e os diversos processos intervenientes no modo de criação e manutenção da rede referencial textual, nas diferentes situações. Assenta-se como noção básica que os elementos (pro)nominais fóricos (sintagma nominal ou pronome) cumprem diferentemente as duas funções essenciais na referenciação (a de identificação e a de descrição dos referentes), e que o jogo das posições na introdução e na manutenção desses elementos representa diferente escolha na configuração da peça. Confirmando os mais básicos princípios funcionalistas, a análise efetuada destrói a noção de que existe uma fórmula pronta na gramática da língua para a organização referencial do texto, e garante a noção de que as diferenças verificadas estão a serviço do plano coenunciativo do produtor do discurso, inserido no seu contexto de produção e no seu contexto de cultura (HALLIDAY, 2004).*

■ *PALAVRAS-CHAVE: Princípios funcionalistas. Referenciação textual. Contexto de produção. Sequências narrativas em romance.*

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PROPOSAL OF NEW CONCEPTS AND A NEW NOTATION IN FORMULATING ETYMOLOGICAL PROPOSITIONS AND DISCUSSIONS

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■ ABSTRACT: This paper aims to present the work methodology and the main theoretical postulates that guide the preparation of *DELPo* (Etymological Dictionary of the Portuguese Language), under the responsibility of NEHiLP-USP (Center for Support of Research in Etymology and History of the Portuguese Language of the University of São Paulo), as it pertains to an innovative project both in its theoretical and empirical-operational aspects. It is intended here to present the conceptual, notational and terminological innovations, proposed by the authors, that support the preparation of *DELPo*. For this, we rely on theoretical references on neology (ALVES, 2007; BARBOSA, 1993, 1996), lexicogenesis (BIZZOCCHI, 1998), and etymology (VIARO, 2011) and propose an update on the symbology used in the formulation of etymological propositions, which can at the same time clear up ambiguities and inconsistencies of traditional notation and answer for the conceptual innovations introduced here. It is intended that both the described etymological processes and the symbols corresponding to them become standard in the research in etymology and etymological lexicography.

■ KEYWORDS: Etymology. Lexicography. Etymological dictionaries. Etymological propositions. Etymological discussion. Etymological symbology. Linguistic notation.

Introduction: NEHiLP

The Center for Support of Research in Etymology and History of the Portuguese Language (NEHiLP, in its Portuguese acronym), linked to the Dean of Research at the University of São Paulo, aims to produce and disseminate scientific research on Historical Linguistics, Philology and Etymology. To this end, it brings together experts in various fields who are directly dedicated to such studies. Many researchers in this interdisciplinary center are experts in ancient and modern history, language structures

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and theories of linguistic reconstruction. The employed method is the research on past and current documents, with a view to the organization of linguistic information that generates quality data for the query of both experts in linguistics and other sectors of society who are interested in etymology (especially journalists and scientists from many areas). In addition to cataloging the first dating of words and their meanings, NEHiLP provides historical information, classified according to their sociolinguistic and stylistic characteristics, associated with information on frequency of use.

Among its projects are the *Antedating* project and *DELPo*.

The *Antedating* project

One of the etymologists' tasks is to collect contexts in certain works and associate them with the date of publication of the work, which must necessarily be a reliable edition. Through this dating, it is possible to establish the *terminus a quo* of the word and establish etymologies. Traditionally, the etymologist is thought of as a highly learned person who knows where to find the best sources and often knows details of the content of the works they consult/quote. Obviously, being learned and organized are always desirable qualities for the researcher, but they are not the main point. Ideally, fewer mistakes should be made. Errors that depend only on human propensities will always exist, but there are some kinds of errors that can be avoided, such as those motivated by fatigue and a lack of attention given the handling of a large amount of information. At this point, it is believed that a program that makes the automatic comparison of a given *terminus a quo* with the date of the analyzed work would aid a significant amount of research.

There would be several advantages of this program in a manual search:

(a) in a manual search, researchers do not have available in their erudition all *termini a quo* of all the words of a language, so that their findings are guided, in most cases, only by the "sensation" that the word "should not be in that text", since they assume (based solely on their experience as speakers and/or researchers) that use of this word is more recent than the date of the investigated text;

(b) to remedy the impossibility of an exhaustive investigation, investigators eventually specialize, either in the form (words with a particular suffix, for example), or the meaning (words of a certain semantic field), or a presumed origin (e.g., words of African origin). Thus, the text would need to be reviewed by an indefinite number of researchers so that all the information that may be of interest to etymological studies is extracted.

A program that ideally had a list of all the words of the Portuguese language with their respective *termini a quo* could theoretically provide the researcher with all instances in which the date of the rendered text is before the *terminus a quo*, without searching their erudition, and would solve the problems of item (a) above, at the same time that it made a full scan, which would cancel the unwanted bias of (b).

For that purpose, NEHiLP designed the computer software *Moedor* ("Grinder"), whose initial project was submitted to the Dean of Research at the University of São Paulo in 2012, along with the creation of the Center, and which was developed by NEHiLP in collaboration with the Institute of Mathematics and Statistics of the University of São Paulo between 2013 and 2014.

The *Dicionário Etimológico da Língua Portuguesa (DELPo)* project

The *Antedating* project aims at something broader than data collection. Unlike what happens with most of the European languages (English, French, Spanish, and Italian), the etymological information present in dictionaries of the Portuguese language is very flawed with regard to their etymological data. In them:

- suffixal/prefixal derivation is confused with etymology;
- etymon of the word and its remote origin are confused;
- there is not enough care taken with etyma of unwritten languages;
- much of the Arab influence is unknown;
- there is complete arbitrariness in relation to etyma of native American and African origin;
- there are plenty of fancy etyma that mischaracterize the etymological study as a scientific work.

One should add also that:

- a few etymological dictionaries have reliable dates for their *termini a quo*;
- there is not, to this day, a methodology for the work of the *terminus ad quem*;
- the Portuguese language is far from having etymological hypotheses and *termini a quo* for meanings, because what exists are mostly dates of lemmas.

All researchers devoted to historical aspects and the diachrony of Portuguese feel the lack of specialized material comparable to the *Oxford* etymological dictionary for the English language, *Le Robert* for French, Cortellazzo & Zolli for Italian or Corominas for Spanish. The most complete work we have in Portuguese are the various publications by Antônio Geraldo da Cunha, the dictionary by Houaiss & Villar and the dictionary by José Pedro Machado. Studies of the 17th, 18th and 20th centuries are absent or very flawed.

Therefore, etymological propositions are poorly developed in Portuguese, as the most elaborated and integrated ones in a Romance vision date back only to the late 19th century to the mid-twenties of the 20th century. Since then, there is an abundance of *ad hoc* etymologies and unknown etyma.

As the final product of NEHiLP research, *DELPo* (*Etymological Dictionary of the Portuguese Language*, in its Portuguese acronym) will be developed initially online, but with possible print versions. In addition to the desirable full-*DELPo*, it is thought that partial publications can also be produced for specific areas of expertise.

For the preparation of *DELPo* there are specialized groups of researchers in:

(a) Latin-based words or those associated with old substrates (old Hellenisms, Celtic, Iberian words, etc.) and the Germanic superstrate;
(b) words of Amerindian origin;
(c) words of African origin;
(d) words of Arabic origin;
(e) words of Indian, Chinese and Japanese origin;
(f) words of unknown origin;
(g) European international words that emerged from the 17th century (from various sources, mainly Italian, Spanish, French, and English).

Conceptual and notational innovations introduced by *DELPo*

In addition to the innovative aspect of the methodology used for the constitution of the corpus on which the dictionary will be developed, conceptual innovations have also been introduced with regard to the description of evolutionary phenomena that affect words throughout their history, with repercussions in the formulation of the so-called etymological propositions, which entailed the parallel development of a new descriptive notation of these phenomena.

Many of the concepts presented here are currently used in etymology; others had already been previously proposed (BIZZOCCHI, 1998, 2013; VIARO, 2011), while some others are being shown for the first time. At the time, these studies allied etymological research with quantitative lexicometry techniques (computerized statistical lexicon analysis), and consisted of a stage of literature review and reworking of the available theories and etymological knowledge and a stage of application of the new theoretical model thus developed to a corpus of academic and journalistic texts in six European languages, namely Portuguese, Spanish, French, Italian, English, and German.

The engine of this research was the realization that, when making translations of the same text to several European languages (for example, an instruction manual drawn up in several languages), it is noted that, where French and English use the Latin word *instruction* (from Latin *instructionem*), in which only the ending has been adapted, Portuguese replaces the suffix -*tionem* with the vernacular -*ção* (*instrução*) and suppresses c̲ from the stem, whereas Italian eliminates n̲ and c̲ and adapts the spelling (*istruzione*), and German creates a calque from Latin (*Anweisung*). That is, given the need to borrow a Latin word, each language incorporates it according to a different process.

With respect to Portuguese, it was found that the available etymological dictionaries do not make a clear distinction between lexical items inherited from Latin in prehistoric times (hereditary lexicon), those created from vernacular material in historical epochs (intralinguistic creations) and those resulting from loan, most of the time merely pointing out the etymon and presenting accreditations. Several of them classify learned words, especially technical terms (*termômetro*, *helicóptero*, etc.) as a result of composition between Greek and/or Latin elements as if this process had occurred simultaneously in Portuguese and other languages, that is, as if such terms had not been created in a particular language (almost never Portuguese) and only then lent to others.

In addition, many works of Etymology, Philology and Historical Linguistics divide the lexicon into learned and popular words, disregarding the existence of half-learned or hybrid words, as well as those of problematic classification; other works recognize half-learned words, but classify as learned words some that, strictly speaking, should be taken as half-learned; still others treat calques of foreign terms as vernacular words, ignoring also that a calque can be total or partial, syntagmatic or semantic. Finally, some authors, such as Bechara (1998), confuse popular and learned words with hereditary and loan ones, as if all the popular words were inherited (disregarding, therefore, modern compositions and derivations of these words) and all loans were learned, that is, from Greek or Latin provenance without any metaplasm (disregarding loans such as *futebol* [from English *football*], which is not learned at all, or half-learned words such as *artigo* and *cabido*).

Another aspect totally ignored by the literature in question is that, when creating and renewing their lexicon, languages make choices between the various possibilities that are given – intralinguistic creation, loan, calque, etc. – and that these choices, being made systematically, even becoming injunctions in certain cases, reveal something of the speakers' worldview regarding their own language. Moreover, as these choices change over time, the historical evolution of this worldview can be reconstructed by the synchronic analysis of the etymological spectrum of the lexicon, either at present or in past synchronies.

The DELPo project also incorporates and extends the notational innovations (VIARO, 2011) largely to account for the conceptual enrichment itself brought about by the project, as well as to eliminate or at least minimize inconsistencies that traditional etymological notation entails.

As in every lexicographical work, *DELPo* will be made from the filling in of records, fully computerized and online, in which the etymological propositions and etymological discussion are fields to be filled in by the researchers. Notations and concepts presented herein are defined as the standard to be followed by these researchers and are contained in a proper manual, available at the Center's website (www.nehilp.org).

The formulation of etymological propositions according to the methodology adopted in *DELPo*

As a first notational innovation, *DELPo* distinguishes between the symbols * (reconstructed datum) and ★ (non-existent datum), prefixed to the linguistic form in analysis. The latter symbol is used, according to Viaro (2011), to indicate inexistent or impossible forms instead of the Chomskyan asterisk. But the symbol * is strictly reserved in its older Schleicherian interpretation, as "reconstructed form" (thus supposedly existent, at least in theory). The reason is that the contradictory use of the asterisk creates aporias in the diachronic study.

An etymology can be succinctly expressed by one or more *etymological propositions*, which are statements about the transformations of data from the same synchrony or two contiguous synchronies.

In these transformations, we have the *original datum* (x) chronologically earlier than the *derivative datum* (x') separated by a symbol between them.

Both can be *attested data* (x), *inexistent* data (★x) or *reconstructed data* (*x). Attested data are found in works, non-existent and reconstructed data are not in any work; however, reconstructed data follow a predictable sequence of diachronic changes, while inexistent data are mere conjectural examples of the application of analogical regularities that have no frequency of use in a particular synchrony and a particular linguistic system.

We can also speak of *disused data* (†x), when, in a particular synchrony, the frequency of use is low or zero, compared to previous synchronies. The concept of disuse is connected to the study of the *terminus ad quem*.

Data, therefore, belong to linguistic *systems*, which, in turn, are linked to *languages* (defined also politically). So, before the datum, the name of the language that it comes from should appear.

There are eight symbols used in the description of synchronies:

x → y or y ← x	the linguistic datum *y* is a morphological derivative of *x*
x ⇨ y or y ⇦ x	the linguistic datum *y* is affected by analogy with *x*
x ▶ y or y ◀ x	the loanword *x* becomes *y*
x ≡ y	*x* and *y* are homophones
x ≅ y	*x* is cognate to *y*
x ≈ y	*x* is a variant of *y*
x ~ y	*x* and *y* are inflections of the same paradigm
x + y → z	*z* is a composition of *x* and *y*

There are four symbols linked to diachronic description:

x > y or y < x	*x* is etymon/source of *y*
x >> y or y << x	the meaning *x* has become *y*
x ≥ y or y ≤ x	*y* is a calque of *x*
x ⇒ y or y ⇐ x	*x* has been replaced by *y*

The elements *x* or *y* will always have the "language *datum*" format, unless the language is Portuguese (in this case we would have just "*datum*"), except if it is not a word used throughout the Portuguese language; in this case it is necessary to specify: "European Portuguese", "Brazilian Portuguese", "Angolan Portuguese", "Portuguese of Ceará". However, the expression "Old Portuguese" (or "medieval Portuguese", "Renaissance Portuguese", etc.) is not used since each synchrony must be sufficiently clear by means of a superscript number prepended to the datum.

An etymological proposition has *authorship* (which is presented by means of a bibliographic indication) and also *degrees of certainty*.[1] The degree of certainty is defined by means of a number. To assign this number, it is necessary to confirm the regular application of phonetic laws in each synchrony. To check the regularity of the incidence of phonetic laws, NEHiLP has developed the *Metaplasmador* ("Metaplasmer") program, available for public use on its website (tab "Software/ Metaplasmer"). The degrees of certainty are:

- **[1] Certain:**
  when there is a regular application of phonetic laws on a not reconstructed datum, in addition to conservation of meaning.

- **[2] Probable:**
  when there is a regular application of phonetic laws on a reconstructed datum, and conservation of meaning;
  when there is irregularity in phonetic laws in only one *locus* of the etymology in a not reconstructed datum, and conservation of meaning.

- **[3] Possible:**
  when there is a regular application of phonetic laws on a reconstructed datum, but no conservation of meaning;
  when there is a regular application of phonetic laws on a reconstructed datum, but no conservation of meaning;
  when there is irregularity in phonetic laws in only one *locus* of the etymology in a reconstructed datum, but conservation of meaning.

- **[4] Improbable:**
  when there is irregularity in phonetic laws in only one *locus* of the etymology in a reconstructed datum or not, as well as no conservation of meaning;
  when there are irregularities in phonetic laws in more than one *locus* of the etymology in a reconstructed datum or not, with conservation of meaning.

- **[5] Impossible:**
  when there is irregularity in phonetic laws in more than one *locus* of the etymology in a reconstructed datum or not, and furthermore, there is no conservation of meaning.

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[1] According to Jespersen (1954, p. 307, note 1): *It is of course, impossible to say how great a proportion of the etymologies given in dictionaries should strictly be classed under each of the following heads: (1) certain, (2) probable, (3) possible, (4) improbable, (5) impossible – but I am afraid the first two classes would be the least numerous.*

Briefly (with i = number of irregular *loci*):

Table 1 – Table 1 - Attribution of degrees of certainty
from indexes of the proposed etymology

Regularity of phonetic laws ($i \leq 1$)	yes		yes		yes		yes		no	no	no	no
Reconstruction	yes		yes		no		no		yes	yes	no	no
Conservation of meaning	yes		no		yes		no		yes	no	yes	no
Number of irregular *loci*	0	1	0	1	0	1	0	1	> 1	> 1	> 1	> 1
Degrees of certainty	[2]	[3]	[3]	[4]	[1]	[2]	[3]	[4]	[4]	[5]	[4]	[5]

Source: Author's elaboration.

This protocol is valid for inherited words. In cases of analogy, loans, replacements, and calques, other criteria should be adopted. The degrees of certainty could be increased by + when there has been an analogical performance. For example, if an etymological proposition of degree 4 does not follow the phonetic laws because it requires an explanation of analogical nature, its notation would be [4+]. Loanwords evidently undergo adaptation to the phonological system of the target language in the synchrony they occur; however, this system is not always known, because of the lack of sufficient data for its reconstruction and the possible nature of the loan. Issues such as the wealth of documentation necessarily influence the judgment. The same can be said of substitutions and calques.

The etymological discussion

The etymological discussion concentrates on arguing each etymological proposition, the variation of the form (diatopic, diaphasic, diastratic, diachronic) and meaning of the word and interlinguistic cognates (and possibly on their formal or semantic differences). Comments based on the topicality of a word or its rarity, its degree of specialization, its use or disuse are considered relevant.

Syntactical issues involving morphosyntactic aspects of agreement (such as gender, number or specific governments) and the participation of the word in lexemes are also relevant.

In this entry field, fully developed in a primary sense, one talks about the different senses that are subordinate to it.

For example, suppose that $estrela_1$, "celestial body", is an inherited word, but $estrela_2$, "famous actress" is calque from English *star* and not a direct derivation.

The solution to this is the main meaning, *estrela*$_1$, in whose *Etymology* field is the whole history of the word *estrela*.

Within this field, are numbered, first, the proposition "Latin *stellam* > *estrela* ⇦ Latin *astrum*" and all the etymological discussion plus its cognates and, next, the proposition "English *star* ≥ *estrela*", with its own comments and cognates. Thus, the comment of "English star ≥ *estrela*" will not be on the form "estrela$_2$", where there is only one reference to the main meaning, "estrela$_1$". Once the *Etymology* field is correctly filled, this discussion will reappear in the lemma.

In traditional discussions of Etymology, the words are classified as *learned* and *vulgar* or *popular*. These categories relate to the origin of the word and not to its usage: there are inherited words, such as *escorreito*, which only occur in ultraformal register, as well as learned words, such as *operário*, which are widely used in all registers, from ultraformal to informal and popular. It is important to distinguish, therefore, when studying a meaning, the learned or popular origin of its usage.

However, there are important gradations between these two extremes. We can say that there are *half-learned words* when there is hybridity of learned and popular elements, either by combination or vulgarization of a Greco-Latin form. There are also *half-popular words*, i.e. words that exist in the language from the very beginning, arising in the period called "Christian Latin", often linked to the Church, disseminated in popular speech, but with a low frequency of use, as well as restricted to certain genres in which the speech used to be more monitored. Only a detailed investigation of past synchronies (made with research and the help of tools like *Metaplasmer*) can tell exactly the times when Classical Latin acted with more or less force to play a role in the etymology of a word.

Irregular metaplasms, as in the case of *escola*, *cabido*, *cônego*, and *missa* point to the so-called *half-popular* words.

Finally, according to this distinction between learned and popular words, phonological neologisms (*poperô*, *tilim-tilim*),[2] derivations from acronyms (*ufologia*, *petista*, *aidético*) or from proper nouns (*amperímetro*, *kantiano*), and recompositions (*reprografia*, *informática*, *metrô*, *minissaia*, *showmício*) become unclassifiable.

Considering also that a word may originate in a language without any contribution, directly or indirectly, from another, or may have been formed from external morphic elements to the system or even with indigenous elements but according to a foreign structural model, two basic processes of lexical formation are recognized:

- autogenetic (heredity or intralinguistic creation);
- allogenetic (loan or creation from allogenic elements).

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[2] Many of these formations are considered onomatopoeic (imitation of the sound of the meaning: *plim-plim*, *miau*, *zunzum*, *ziguezague*, *tique-taque*, *tilim*, and derivatives *miar*, *zunzunar*, *ziguezaguear*, *tilintar*). There is much discussion whether these words are actually *ex nihilo* neologisms (creation of a new signifier from nothing: *poperô*, *chinfrim*, *pirlimpimpim*, *zureta*), but there is still much to study about phonological expressiveness (VIARO; FERREIRA, GUIMARÃES-FILHO, 2013, p. 58-105).

It can be said that autogenetic words are those that do not contain any element from another linguistic system, either in the expression or on the content plane, and that allogenetic words are those containing at least one of these elements, be it morphological or semantic.

Therefore, the following terminology for the meanings will be part of the "Etymological Discussion" of the *Etymology* field (BIZZOCCHI, 1998, 2009, 2013):

1. Autogenetic processes (*autogeny*):
   a. *heritage* (vernacular or hereditary words);
   b. *phonological neology* (phonological neologism);
   c. *resemantization* (of autogenetic words);
   d. *composition* or *derivation* (from autogenetic words).

2. Allogenetic processes (*allogeny*):
   a. *loan* of a foreign word;
   b. *resemantization* (of an autogenetic word with borrowed meaning);
   c. *resemantization* (of an allogenetic word with vernacular meaning);
   d. *composition* or *derivation* (from allogenetic words).

The learned and half-learned words fall within the allogenetic category, as they result from elements borrowed from Greek and Latin. In the aforementioned example, *estrela*$_1$ is an autogenetic word, while *estrela*$_2$ is allogenetic.

One must also consider that the border between the two families of processes is blurred, as vernacular words can receive foreign meanings and be restored, that is, have their inherited signifier replaced by the Latin signifier that gave rise to it. For example:

mosteiro $\Rightarrow$ *monastério* ◄ Latin *monastērĭum* ◄ Greek μοναστήριον.

In this respect, the status of *eponyms*, proper nouns that become common, is arguable. Many of them pay homage to the creator of the object named by them. For example, *ampère*, *macadame*, *gilete* and *zepelim* are eponyms of surnames *Ampère*, *Gillette*, *MacAdam* and *Zeppelin*, respectively. In the case of *gilete*, the common noun has not derived directly from the name of the inventor of the razor blade, but from the product brand, originally manufactured by the inventor himself. Another case of a trademark that has become a common noun is *maisena* (< Maizena®). Among the compounds and derivatives of this kind we have: Portuguese *abreugrafia*,, French *voltmètre*, English *Newtonian*, German *Kantismus*, and, in general, all derivatives of names of people and countries, such as *hitlerista* and *zimbabuês*.

Abbreviations and acronyms may sometimes be lexicalized and come to have a syllabic pronunciation, while others remain spelled (BARBOSA, 1993, 1996). In any case, elements formed by *acronymy* as *USP*, *AIDS*, *PT*, and its derivatives *uspiano*, *aidético*, *anti-AIDS*, *petista* also form special groups to be studied.

The etymological processes involving the cases described above are detailed below.

Heritage

One classifies as *vernacular* or *hereditary*, words inherited directly from the linguistic system in an immediately preceding synchrony, without the intervention of any other system. In the case of Romance languages such as Portuguese, all that existed in Vulgar Latin and continued to exist is vernacular, so that, when they acquired the status of distinct languages from Latin, this collection of lexical and grammatical materials has become the patrimonial lexicon of these languages. The representation of an inheritance is $x > y$.[3] Latin noun forms, in this case, will come in the accusative (without apocope of *-m*).

It should be emphasized that, due to the exchange of words between Latin and Germanic during the last centuries of the Roman Empire and the early Middle Ages (1st to 7th centuries AD), there are also vernacular words in the Romance languages that are of Germanic origin (for example, Portuguese *guardar* < Vulgar Latin **guardare* ◄ Frankish *wardan*) and vernacular words in Germanic languages that are of Romance origin (e.g. English *dish* < Common Germanic **diskaz* ◄ Latin *discus*). Since these exchanges have taken place between Latin and a Germanic language, these words, depending on the synchrony, are either loanwords or heritage.

Unlike the traditional notation, there can be notations as $x > y < z$, meaning that the element *y* is a form with double origin. For example:

Latin *pro* > *por* < *por* ~ †*per* < Latin *per*.

Loan

The term *loan* is applied to all that is not created in synchrony nor is inherited, that is, a word from another system in a given synchrony. The term *foreign word* is often used as a synonym for loan, but it takes making some distinctions because there are the words considered "nationalized loanwords" and those "not nationalized". The term *foreign word* is therefore not a technical term adopted by NEHiLP in the section of "Etymological Discussion" of the *Etymology* field. One traditionally makes an exception to the words from Classical Greek and Latin. Save a few cases (*status*, *habitat*), Greek and Latin words enter already fully "nationalized", whereas some loanwords are either nationalized in spelling and pronunciation (*futebol*, *abacaxi*) or not (*pizza*, *bonbonnière*). Unlike traditional use, we do not make distinction between these two groups of words (i.e. those coming from Classical Greek and Latin and those coming

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[3]   The symbol > is restricted to changes in signifier; therefore, it will be used by NEHiLP for changes not only of phonetic or phonological nature, but also graphic.

from other languages) and in both cases, representation is made as *x* ► *y* (the Latin noun forms, in this case, will come in the nominative). This applies to both direct and indirect learned words (when a Latin or Greek word, for example, enters Portuguese not directly from Latin or Greek, but through an intermediate modern language such as French, Italian, Spanish, or English).

Examples of etymological propositions:

Latin *temperātūra* ► French *température* ► *temperatura*;
Greek θέατρον ► Latin *theatrum* ► French *théâtre* ► *teatro*.

Sometimes a word from system A is borrowed by system B and, some time later, returns to A. Often this return occurs when the word had already fallen into disuse in A or had changed formally and/or semantically. Other times, the newly coming form coexists as an allotrope of another, older one. This particular case is called *retroversion*. For example, the Portuguese word *fetiche* is a loan from French *fétiche*, in turn borrowed from Portuguese *feitiço* and resemantized. Symbolically:

fetiche ◄ French *fétiche* ("spell" >> "fetish") ◄ *feitiço*.

In this case, the allotropic forms are represented as cognates: *feitiço* ≅ *fetiche*. Retroversion of learned forms can also occur, as seen in the French †*parformer* ► English *perform* ► French *performer*. Lat. *humor*, "liquid", passed in this sense to medieval Fr. *humour* (current *humeur*) by translation of the suffix. The latter was lent to E. *humour*, which later acquired the sense of "humor, fun". This sense returned to French as *humour*, which now coexists with *humeur* (divergent forms). Similarly, Fr. *entrevue* went to E. *interview* by restitution[4] of the prefix and later returned to French as *interview*. Today, both forms coexist in French with different meanings: *entrevue* is an interview to discuss business (a job, for example) and *interview* is the journalistic interview.

Some learned words, being indirectly introduced, enter the language with the phonetic form of the language from which they were borrowed. This produces a divergence between the form taken by that learned word and that which would be expected if it came directly from Greek or Latin.

For example:

Greek φρένησις ► Latin *phrenēsis* ► French *frénésie* ► *frenesi*;
Greek Σειρήν ► Latin *Sīrēn* ► French *sirène* ► *sirene*;
Latin *domĭnō* ► French *domino* ► *dominó*.

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4 For the definition of restitution, see item *Calque*, further on.

When a language borrows a half-learned word, the word usually keeps its half-learned nature. For example, Fr. *nécessaire* comes from Lat. *necessarĭus* (with adaptation of the ending), which went to Port. *nécessaire* in the sense of "female bag or case for toilet utensils". Similarly, Lat. *socĭĕtās* generated Fr. *société* and, next, this form passed to E. *society*.

Typically, learned words enter the vernaculars through writing and then come into speech. Therefore, borrowing languages usually retain the Greco-Latin spelling (except compulsory orthographic adaptations), even to the detriment of pronunciation. However, sometimes there may be oral transmission of an indirect learned word, that is, from a language other than Greek or Latin. In this case, the pronunciation of this language can be reproduced with adaptation of spelling. For example:

French *estime* ► English *esteem* [ɪs'ti:m] (and not ★*estime* [ɪs'tajm]).

As with popular words, learned words can also be borrowed with their endings, which incorporate onto the word stem in the new language. The French learned words *privé* and *habitué* have passed without change to Port. *privé* and *habitué*, respectively, thus maintaining the participle ending -*é* [e] and not ★[ɛ]. Being a French element rather than Latin, it gives the Portuguese terms a hybrid, i.e. half-learned character.

Calque

One traditionally calls *calque*, *loanword translation* or *clipping* the translation of a word (or the elements that compose it) from a system other than that studied by the equivalents of the system in question. Its representation is $x \geq y$.

Examples:

English *skyscraper* ≥ *arranha-céu*;
English *hot-dog* ≥ *cachorro-quente*;
French *chou-fleur* ≥ *couve-flor*.

NEHiLP expands the use of the concept *calque*, since it is also applied to the case of partial substitutions. Many learned words, in certain synchronies, made a sort of "translation" of suffixes, which are inexplicable phonetically. For example, the word *relação* was not inherited from Latin (so we could not display it, as it is usually done in books of Romance philology and historical linguistics, as Latin *relātĭō > relação*, much less as if it were an inherited word, such as Latin *relātĭōnem > relação* or Latin *relātĭōne- > relação*), nor was it a mere loan (and it would be inaccurate to display it as Latin *relātĭō ► relação*, because it is not a regular phonetic change, but systematic). The most appropriate way to indicate it would be Latin *relātĭō ≥ relação*. That is, the symbol ≥ used for calque will also apply to partial translation:

French †*estrang*<u>*ier*</u> ≥ *estrang*<u>*eiro*</u>;
English *goal*<u>*keeper*</u> ≥ *gol*<u>*eiro*</u>;
Spanish *cañ*<u>*ón*</u> ≥ *canh*<u>*ão*</u>.

Another particular case of calque is the so-called *semantic loan* (also known as *semantic extension* or *loanshift*), as in the aforementioned E. *star* ("celestial body" >> "famous actress") ≥ *star* (both senses) or E. *mouse* ("animal" >> "computer device") ≥ European Port. *rato* (both senses). The semantic loan also occurs with learned words:

Latin *nuclĕus* ("core" >> "nucleus") ≥ German *Kern* (both senses, cf. *Kernphysik*, "nuclear physics").

The so-called *restitution loans* are also included as calque subtypes (BIZZOCCHI, 1998, p. 124), in which a part of a foreign popular or half-learned word is translated by Greek or Latin elements. For example:

English *feed back* ≥ *retroalimentar*.

The same can occur with parts of a word as French suffix -*el*, which becomes -*al* in Portuguese in cases such as French *opérationnel* ≥ *operacional*.
It can be said that there has been a partial restitution when some half-learned or popular parts are translated by learned correspondents and others not, as in:

English *starship* ≥ French *astronef* ≥ *astronave*.

The reverse can also happen. When a calque occurs through the substitution of Greek or Latin elements by vernacular equivalents (*learned word translation*). In this case, it is the replacement of a part of a learned word for another of half-learned, half-popular or popular in nature, with the same meaning. This may occur in whole or in part. Examples:

Latin <u>*superpōnĕre*</u> ≥ <u>*sobrepor*</u>;
Latin *inter*<u>*rumpĕre*</u> ≥ *inter*<u>*romper*</u>;
Latin *per*<u>*fect*</u>*us* ≥ *per*<u>*feit*</u>*o*;
Latin *commō*<u>*tĭō*</u> ≥ *como*<u>*ção*</u>.

The same may occur in half-learned or popular etyma:

French *dés*<u>*ordre*</u> ≥ *des*<u>*ordem*</u>.

The etymological research of loans and calques must be careful because there is no guarantee that there is an etymological connection in words that may have arisen

independently and were motivated by the concept itself and not by one another. For example, one cannot claim with certainty that *saca-rolhas* is a translation of Fr. *tire-bouchons* ("corkscrew"), nor *acendedor de cigarros* is a translation from E. *cigarette lighter*. As the signifier is strongly motivated by the meaning (as *laranjeira*, "orange tree", is motivated by *laranja*, "orange", which takes almost all languages to name the tree from the name of the fruit), it is very difficult to say that a language has influenced another in the choice of the designation. Nevertheless, neither can this hypothesis be discarded: when an artifact of foreign origin is introduced into a society, it is natural that, along with the thing, comes the name. So whoever coined *saca-rolhas* or *acendedor de cigarros* in Portuguese was certainly not unaware of the original names of these objects. These are therefore cases in which the exact explanation of the word etymology depends on rarely available empirical data, which can make these lexical items remain indefinitely defined as problematic or insoluble classification, decreasing, so to speak, the degree of certainty of the etymological proposition.

Derivation

The symbol $x \rightarrow y$ widely denotes a word y formed in synchrony within a system by various processes, such as prefixation, suffixation, parasynthesis, regression derivation or improper derivation (also known as *conversion*) either from a popular, or inherited, or foreign stem. Examples:

cabeça → cabecear;
mesa → mesário;
saudoso → saudosismo;
transação → transar.

Care must be taken, as many words are misclassified in etymological dictionaries as derivatives when they are actually translations. Example:

desafiar ≤ French *défier* (and not "*desafiar* ← French *défier*").

Another case where the symbol → is used, is the case known as *inflectional neologism* (ALVES, 2007). When Portuguese creates *soldada* from *soldado* ("soldier"), *professora* from *professor* ("teacher") and *presidenta* from *presidente* ("president"), it is a kind of derivation similar to that occurring in Spanish and Italian when they derive *banano* ("banana tree") from *banana* by analogy with *pero/pera* (< Lat. *pirum/pira*, from *pirus/pirum*), i.e. the derivation occurs by changing the thematic vowel (as there is no gender inflection in nouns). It is a very different case from simple inflection. A form such as *cantamos* is not derived from *cantar* or any other inflection because in the

system there is no hierarchy or, properly said, no inflection older than another. Cases like these are simply indicated as follows:

cantamos ~ cantar,

indicating that both inflectional forms are within the same paradigm.

There are derivations formed through learned stems and also learned affixes. In this case, these are not loans because the etymon does not belong to any synchrony and system at all. For instance, Port. *iniciativa* is a loan from Fr. *initiative*, which was created from a non-existent Lat. ★*initiativa*, derived from *initiare*, that is, Latin elements were used but the Latin word itself does not exist. The indication of this etymological proposition would, however, be as if the Latin word were in the same synchrony as French, for it was the source of inspiration of the learned neologism:

Latin *initiare* → French *initiative* ▶ *iniciativa*.

Other examples:

Latin *fractus* → English *fractal* ▶ *fractal*;
Greek γένος → German *Gen* ▶ English *gene* → English *genome* ▶ *genoma*.

We call *truncation* (ALVES, 2007, p. 68) the removal of a part, usually the end, of a lexical sequence. The result of this process is part of a composition element or the sequence formed by an element and part of another.[5] The truncated portion is represented between vertical bars. Examples in Portuguese:

preju|ízo| → *preju*;
micro|computador| → *micro*;
vice|-presidente| → *vice*;
ex|-marido| → *ex*;
French *métro|politain|* → French *métro* ▶ *metrô*;
French *photo|graphie|* → French *photo* ▶ *foto*;
French *cinéma|tographe|* → French *cinéma* ▶ *cinema*.

Sometimes derivation occurs from a learned stem with a half-learned or popular affix (Port. *agricultável*, *deseducar*) or from a half-learned stem with affixes of any kind (Fr. *désordre*). This category also includes the cases of the so-called *false derivation* (or *pseudo-derivation*). Often, when borrowing a Greco-Latin word, a language adds popular suffixes that do not alter the meaning of the word, while the form without

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5   These elements are known as *prefixoids*, *suffixoids* or, more generally, *quasi-morphemes* and *fractomorphemes*, among other names. Compositions made with these elements are called *portmanteau words* and the process is sometimes known as *recomposition* (LINO, 1990, p. 30-31; ALVES, 2007, p. 69).

the suffix does not exist in the language (or does exist, but the suffixed form does not derive from it). It is in this case a *pseudosuffixation*, and the added element is actually a *pseudosuffix*, since there is no primitive word where the alleged derivation would originate. For example:

Latin *commodus* ► English *commodious* (there is no E. ★*commod*);
Fr. *photographe* ► English *photographer* (for E. *photograph* is a regressive derivation);
Latin *philosŏphus* ► English *philosopher* (there is no E. ★*philosoph*);
Latin *litterārĭus* ► German *literarisch*;
Latin *physĭcus* ► German *physikalisch*;
Latin *mūsĭcus* ► French *musicien*.

Composition

A compound word is formed by the composition of two or more stems (vernacular or foreign) in a given synchrony. Words only enter this category if they have actually been created by this process in the language that is being analyzed. Thus, *puxa-saco* ("who pulls a bag" >> "sycophant"), *pernilongo* ("with long legs" >> "mosquito"), and *cabisbaixo* ("head down" >> "crestfallen") are legitimately Portuguese popular compounds. Instead, *cachorro-quente*, mentioned in the previous item, is not the result of composition in Portuguese, but, as we saw, translation from E. *hot-dog*. The notation of the composition is $x + y \rightarrow z$.[6]

Many of the currently existing learned words did not exist in Greek or Latin, having been created in the very modern European languages, especially French and English and, secondarily, in Italian and German, since they are more influential languages culturally in certain synchronies. Since a large number of these new learned words are technical and scientific terms, it is natural that they arise in the languages of the countries where most of the scientific and technological innovations happen. These learned words are basically created in two ways: by composition between learned stems or by derivation from a learned stem with also learned affixes.

For example:

Greek ἕλιξ + Greek πτερόν ► French *hélicoptère* ► *helicóptero*;
French *social* + French *démocrate* → French *social-démocrate* ► *social-democrata*.

Composition may also occur between elements that have undergone truncation. Examples:

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[6] The name *hybrid composition* is sometimes given to that form constructed with a learned and a half-learned stem, with a learned and a popular stem, with a half-learned and a popular stem, or even two half-learned stems (for example, Port. *auriverde*, *rubro-negro*, *bafômetro*).

show + |*co*|*mício* → *showmício*;
brasi|*leiro*| + |*para*|*guaio* →*brasiguaio*;
portu|*guês*| + |*espa*|*nhol* → *portunhol*;
French *inform*|*ation*| + French |*auto*|*matique* → French *informatique* ► *informática*;
English *repro*|*duction*| + English |*photo*|*graphy* > English *reprography* ► *reprografia*;
English *auto*|*mobile*| + English *part* → English *autopart* ≥ *autopeça*;
English *mini*|*ature*| + English *skirt* → English *miniskirt* ≥ *minissaia*.

Analogy

The phenomenon of analogy[7] is a transformation that occurs in synchrony and within the same system. In analogy, a word or group of words (a mold) acts on others forming a third element. Analogy itself is not in the same *dimension* as the diachronic phenomenon, but it should be represented *at right angles* to it. Since this notation is complex, the special arrow representing the analogical phenomenon (⇨) is placed in the opposite direction of *transmission* (by inheritance or loan). Thus, if *x* influences *y* such that *z* reflects this influence, the etymon is marked as *z* ⇨ *y* < *x* or as *x* > *y* ⇦ *z* (other symbols may occur in place of > depending on the case), whence we say *x* is the etymon, *y* is the analogical product and *z* is the analogical mold.

Example:

Latin *foresta > *floresta* ⇦ *flor* (and not ★*foresta*);
Latin *consecrare* ► French *consacrer* ⇦ French *sacrer* (and not French ★*consécrer*).

In some cases, a learned word can be borrowed and have the same learned elements, but combined in a manner inconsistent with the phonological system of Greek or Latin. For instance, Spanish has made the Latin words *dīminuĕre*, *immortālis*, and *commōtĭō* match the forms *disminuir*, *inmortal* and *conmoción*, that is, it has rehabilitated archaic forms of Latin, prior to assimilation (although *disminuĕre, *inmortālis, and *conmōtĭō are not attested, but deductible). Yet, the emergence of these forms in Spanish should not have taken place by a desire to reconstruct the primitive form of these words, but by the effect of the analogy with other words (e.g. *disponer*, *intenso*, and *contracción*). Other times, a learned word undergoes phonetic changes typical of popular words, although there are problems with respect to the involved synchronies. This phenomenon is often known as *metamorphism* (BIZZOCCHI, 1998, p. 104). Sometimes these changes are mandatory. The investigation of the synchronies in which such changes have occurred is an urgent factor for NEHiLP because characterizing such forms as results of an analogy can only be done by determining the vocabulary of the past synchronies in which they occurred. Examples:

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[7] The product of many analogies is sometimes known as *folk etymology*.

Latin *secta* ▶ *se<u>ita</u>* ⇐ -ɪᴛ-
Latin *doctor* ▶ *do<u>ut</u>or* ⇐ -ᴜᴛ-
Latin *conceptus* ▶ *conce<u>it</u>o* ⇐ -ɪᴛ-
Latin *statŭa* ▶ *<u>e</u>státua* ⇐ ᴇ-

In this case, we can also include the *half-popular words*, which cannot be considered loanwords, but, at the same time, do not have exactly the same status as the inherited words, since their usage was initially restricted to monitored speech environments, such as the church and university, for example, which protected such words from undergoing all the regular metaplasms to which vernacular words were subject, resulting in hybrid forms, as Lat. *canonĭcus*, *clerĭcus*, *capitŭlum*, and *articŭlus*, which resulted in Portuguese the words *cônego*, *clérigo*, *cabido*, and *artigo*. The category of half-popular words is the one that is not subject to gaining new units, since the phenomenon that produced them occurred only once, in the passing of one historical language to another.

The analogical performance can generate popular, half-learned and, theoretically, even learned words. Examples:

Latin *dromedārĭus* > French *dromedier* ▶ German *Trampeltier* ⇐ German *trampeln* + German *Tier*;
Latin *corporalis* ▶ Italian *caporale* ⇐ Italian *capo*;
Latin *impedĭō* > *impeço* ⇐ *peço* < Latin **petĭō* ⇐ Latin *petō*;
Latin *impressa* > *imprensa* ⇐ *prensa* < Latin *prehēnsa*).

Substitution

The phenomenon of substitution typically involves two distinct transmissions that intersect and is represented by $x \Rightarrow y$.

This symbol is particularly useful for understanding the diachronic rearrangement that systems go through. Thus, a subset of the interrogative adverbs involves the meanings "where", "wherefrom", "whereby", and "whereto", that were expressed in Latin respectively by *ubi*, *unde*, *qua* and *quo*. We can say that Lat. *unde* > *onde*, but Lat. *qua* ⇒ *por onde*.[8]

This is the case, for example, of the phenomenon (common in many synchronies) of *restoration* (also called *refection*) of a popular form (which falls into disuse) by another learned one, of the same origin (MAURER JR., 1951, p. 62), meaning something like $z > x \Rightarrow x' \blacktriangleleft z$. This substitution may be partial or total. For example:

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[8] This case is particularly rather complex, for we can say that in a given synchrony: *onde* (< Lat. *unde*) ~ *u* (< Lat. *ubi*) and then, with the disuse of *u*, the word *unde* > *onde* ("wherefrom" >> "where"), whereas, more recently, *a* + *onde* > *aonde* ("whereto" >> "where") as, longer before, Sp. *donde* ("wherefrom" >> "where") < *de* + *onde*.

Latin *silentĭum* > †*seenço* ⇒ *silêncio* ◄ Latin *silentĭum*;
Latin *flōrem* > †*chor* ⇒ *flor* ◄ Latin *flōs, -ris*;[9]
Latin *monastērĭum* > *mosteiro* ⇒ *monastério* ◄ Latin *monastērĭum*.

Sometimes restoration is partial:

Latin *inimīcum* > †*ẽemigo* ⇒ *inimigo* ≤ Latin *inimīcus* (and not ★*inimico*);
Latin *fĕlīcem* > †*fiiz* ⇒ *feliz* ≤ Latin *fĕlix, -īcis* (and not ★*felice*).

Restoration many times also occurs only in spelling, for example:

Latin *nīdum* > French *ni* ⇒ French *nid* ◄ Latin *nīdus*;
Latin *salūtem* > French *salu* ⇒ French *salut* ◄ Latin *salūs, -ūtis*.

In such cases, it only affects spelling, not pronunciation, but there are cases in which the pronunciation is changed because of the spelling, such as Latin *sub* > *so* ⇒ *sob* ⇐ Latin *sub* or Latin *nāscĕre* > *nacer* ⇒ *nascer* ◄ Latin *nāscĕre*, which in European Portuguese is pronounced [nɐʃˈseɾ].

Sometimes the allegedly restored popular word has not been documented and must be reconstructed, for example:

Latin *sŏlum* > **soo* ⇒ *solo* ◄ Latin *sŏlum*;
Latin *altum* > **outo* ⇒ *alto* ◄ Latin *altus*;
Latin *clārum* > **charo* ⇒ *craro ~ claro* ◄ Latin *clārus*.

Some restorations occur by means of half-learned words. This phenomenon is quite common in some synchronies such as, for example, after Renaissance. Some (simplified) etymologies:

Latin *elĕphas, -antis* ► †*alifante* ⇒ *elefante* ◄ Latin *elĕphas, -antis*;
Latin *astronomĭa* ► †*astrolomia* ⇒ *astronomia* ◄ Latin *astronomĭa*;
Latin *informāre* ► †*enformar* ⇒ *informar* ◄ Latin *informare*.

This also includes cases referred to as *transcreation*, in which a learned word is created to replace a part of an existing learned word. For example:

Latin *signātārĭus* ► Italian †*segnatario* ⇒ Italian *firmatario* ← Italian *firma*;
Latin *jūdaismus* ► Italian *giudaismo* ⇒ Italian *ebraismo* ← Italian *ebreo*.

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9   The restored form can sometimes undergo a new metamorphism; it is what happens to *flor* > †*frol*.

Conclusion

This paper aimed to briefly demonstrate how NEHiLP intends, through its innovative computer technology and large team of researchers from Brazil and abroad, to draw up an etymological dictionary of the Portuguese language that matches in size, quality and data reliability the best works of its kind available in the world for other languages. By its computing platform, *DELPo* will not only be a reference for experts and the general public, but also allow searches by theme (words of a given time, words of a certain origin, words with a certain prefix or stem, etc.), as well as the generation of charts, statistics, reports and many other resources that are likely to position Brazil and the Portuguese language as future references in the field of etymological science.

As we have seen, one of the innovative aspects of the *DELPo* project is the adoption of new concepts and categories for the classification of etymological phenomena, with the consequent introduction of a new symbolic notation that includes them. It is expected that such concepts and symbols will become progressively integrated into mainstream etymological and philological literature, which will be another Brazilian contribution to scientific advancement in the area.

As no scientific theory is ever fully completed, the very practice of research and development of the dictionary will reveal whether such innovations are sufficient or whether new concepts and symbols need to be introduced, or if the current ones need to be modified, revised or corrected. Suggestions and contributions are always welcome.

- *RESUMO: O presente artigo visa a apresentar a metodologia de trabalho e os principais postulados teóricos que norteiam a elaboração do DELPo (Dicionário Etimológico da Língua Portuguesa), a cargo do NEHiLP-USP (Núcleo de Apoio à Pesquisa em Etimologia e História da Língua Portuguesa da Universidade de São Paulo), visto tratar-se de projeto inovador tanto em seus aspectos teóricos quanto empírico-operacionais. Pretende-se aqui apresentar as inovações conceituais, notacionais e terminológicas propostas pelos autores, que embasam a elaboração do DELPo. Para tanto, baseamo-nos em referenciais teóricos sobre neologia (ALVES, 2007; BARBOSA, 1993, 1996), lexicogênese (BIZZOCCHI, 1998) e etimologia (VIARO, 2011), bem como propomos uma atualização na simbologia utilizada na formulação de proposições etimológicas, que ao mesmo tempo dirima ambiguidades e inconsistências da notação tradicional e dê conta das inovações conceituais aqui introduzidas. Pretende-se que tanto os processos etimológicos descritos quanto os símbolos a eles correspondentes se tornem padrão na pesquisa em etimologia e na lexicografia etimológica.*

- *PALAVRAS-CHAVE: Etimologia. Lexicografia. Dicionários etimológicos. Proposições etimológicas. Discussão etimológica. Simbologia etimológica. Notação linguística.*

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REVIEWS

DIALOGISM IN SIXTEEN CHAPTERS

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> […] according to Bakhtin, […] the dialogue can be understood as mode that denotes how language functions as well as point of view that establishes an object of study. (BRAIT; MAGALHÃES, 2014).

Dialogism: theory and (in) practice, organized by Beth Brait and Anderson Salvaterra Magalhães[1], presents research work on discourse, within the Bakhtinian framework. In his foreword, Carlos Alberto Faraco highlights its importance and writes about Beth Brait's contribution to the discussion of the Bakhtin Circle ideas in several moments in Brazil. Furthermore, he points out her most recent research on the verbo-visual utterance within a dialogic perspective[2]. Anderson Salvaterra Magalhães, advised by Brait on his doctorate, has a recognized reputation along the same line of thought.

Taken from the introductory text by Brait and Magalhães, the words in the epigraph define the adopted theory and expose the methodology that guides the chapters. By recognizing the dialogic nature of language, the researcher her/himself takes on the role of interlocutor in relation to her/his object of study. Thus, as the organizers remind us, the object of study is not only characterized as cognoscible but also as cognoscitive. There lies the challenge of the sixteen chapters that compose the book: the production of knowledge as a result of theoretically qualified interlocution.

The coherence and unity of the book are revealed in the titles of the parts into which it is organized. All of them start with the word "dialogism" and are paramount to specific questioning, central in the Bakhtin Circle: dialogism in knowledge production, dialogism in life and dialogism in art. Following this organization, in the first part – Dialogism: Brazilian knowledge production –, we can find three chapters that deal with genre of discourse and another one dealing with translation. In the last one, Sheila Vieira de Camargo Grillo and Ekaterina Vólkova América, who study the works of the Bakhtin Circle, and who have translated three of them[3] directly from Russian to

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[1] Review of BRAIT, B.; MAGALHÃES, A. S. (Orgs) **Dialogism**: theory and (in) practice. São Paulo: Terracota, 2014. (ADD Series). 322p.

[2] Brait (2013) stands out, the importance of which can also be seen in the reviewed book herein.

[3] Specifically: Medviédev (2012), Bakhtin (2013);Volochínov ([20--]).

Portuguese, expose the relationship of that knowledge when examining the experience of translating within the Bakhtinian concept of utterance. In the analysed case, it is transmitted and received in the scientific sphere. According to the authors, the translated utterance presupposes conceptual and stylistic tension between being faithful to the original Russian text and its reception in Portuguese; the relationship to other texts, which are not directly translated from Russian and are available in Portuguese; and, the role of socio-historical and intellectual context in which the original Russian text was produced. Thus, the chapter makes it possible to compose a dialogic approach of the translated work, besides deepening the theoretical reflection, since it discusses the translation of key-terms and places them within the intellectual context of the era in which they were produced.

In one of the three already mentioned chapters, that considers the concept of discursive genre, Adail Sobral resumes his previous reflections and reinforces a broad and detailed proposal that allows the concept to be examined. Before rendering this result, he is concerned with the distinction between discursive and textual genres, and, for that matter, develops the concepts of discourse and text. Discourse is characterized as the articulation between text-defining materiality and the enunciation situation, understood as socio-historical positions. Sobral points out the "excessive emphasis" of the formal aspect of genre, reminding us that the dialogic approach to this concept presupposes an ideological view of the world.

A similar concern about the theoretical and methodological procedures while examining the discursive genres can be found in the chapter by Anselmo Pereira de Lima who, having this objective in mind, tries to examine a very original *corpus,* which required audio-visual records: educational events that took place in a professional education center with a teacher, several students and an assistant. The dynamics of their interaction, the repetition and recreation of the activities are the core of the performed analysis. In the theoretical research on which his study is based, Lima, as well as Sobral, feels the need to distinguish text and discourse. Based on L. S. Vygotsky, Lima defines discourse as "process", whose "product" is the text. According to this understanding, analysing discourse demands the observation of "the most important aspects that constitute the history of its development". It is an explanatory analysis of the genesis of the phenomenon, and not a description of its manifestation. Vygotky's proposal that "[…] it is only in [development] movement that a body shows what it is" (VYGOTSKY apud LIMA, 2014, p.39) establishes the perspective for Lima's discursive genre analysis.

Rodolfo Vianna's study also elects, as its main focus, the concept of discursive genre to analyse the informative journalistic genre. Since he is interested in the macro-characteristics that are relatively stable in the genre, and not in its details and variable elements, Vianna organizes his reflection around the polarization between informative and opinionated journalistic genre. Along this path, and taking into consideration the constitutional history and transformations of the journalistic sphere, he analyses how

the genre is composed, having as main reference the *Style Guide*[4] of the newspaper *Folha de São Paulo*. Through the analysed *corpu*s, Vianna registers the importance of the objectivity effect, the ideological positioning of the communication vehicle and the functioning of the activity sphere in the construction of the informative journalistic genre. All of the above configure a relative objectivity criterion.

The second part of the book – Dialogism in life – comprises seven chapters dedicated to several objects. The reflection of Anderson Salvaterra Magalhães, whose aims are related to the objectification process in journalism and with the current challenges of the press, allows for a productive interlocution with Vianna's chapter. Instead of polarizing, Magalhães prefers to examine the articulation of the objectification and subjectification processes in the journalistic activity. The development of the analyses of the *corpus,* laureate articles from the Rio de Janeiro newspaper *O Dia,* and the conclusions are guided by the inclusion of an ethical component. Along the lines of Bakhtinian, Magalhães sees objectification as an inter-subjective exercise, ruled by ethical responsibility.

The study made by Beth Brait and Bruna Lopes-Dugnani examines street language. It analyses the manifestations of June 2013 in Brazil – a moment of special interlocution, which could not be left outside the Bakhtinian perspective – with the objective of understanding the discourses expressing claims, as well as the subjects who enunciate them and their forms of enunciation. Based mainly on the concept of verbo-visual utterance, previously developed by Brait, the analysis focuses mainly on two types of utterance, the poster and the mask, weapon and shield, which comprise the game of telling, at the same time, serious and playful. The reflection outlines the crowd, finding "versions of the same", collective voices, and discourse reiterations. Thus, it figures out the "genesis of discourse", by incorporating consolidated discourses from the workplace, of violence, and even of nationalism. The article also presents another perspective, and by looking closely at the participants, it is able to identify, among the collective, individual traits, mainly in the handwriting and in the gestures.

Still focusing on verbo-visual utterances, Miriam Bauab Puzzo selects three covers of *Veja Magazine* that feature ex-president Lula, in different historical moments. She analyses them admirably, characterizing the journalistic, as well as historical interlocution being promoted; describing its architectural form, constituted in the articulation of verbal and visual language; and examining its evaluative tone that changes according to the historical moment.

Based on Bakhtinian thought and placed in a theoretical dialogue with rhetoric and new rhetoric, Maria Helena Cruz Pistori's chapter examines the repercussion of a crime that occurred in 1997 and its trial in the pages of the newspapers *Folha de São Paulo* and *Correio Brasiliense*. In the study of this object, which aims at capturing the relationship between legal and journalistic discourses, the values, specificities and coercions of these spheres are revealed. The characterizations are not timeless; they

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4   Original title in Portuguese: Manual de redação.

do not represent the legal and journalistic sphere of any period as they deal with the contemporary press and legal system. The perspicacious *corpus* analysis leads to the following conclusion: "[…] independence and autonomy of the legal system, next to freedom of speech for the press […] are not democratic contradictory values, but they are mutually open to influence at different levels in our liberal market economy."

In an original proposal, Vinícius Nascimento turns to dialogism to assess his contribution to the formation of translators/interpreters of sign language and Portuguese. With this aim, he explores pertinent concepts of Bakhtinian framework to set ground for the interlocution between translators/interpreters and deaf people, being able to extract a proposal for the education of these professionals.

Still in the second part of the book, two chapters examine textbooks. Cláudia Garcia Cavalcante and Regina Braz Rocha write about *Text Practice for Students*[5] by C. A. Faraco and C. Tezza, and *Writing Classes*[6] by B. Brait, J. L. C. A. Negrini, and N. R. P. Lourenço, respectively. The first article focuses on the interaction between author and student/reader promoted by the textbook and how it guides activities in the classroom. The analyses, mainly in the Text Practice section, identify the author's enunciative standpoints and those given to students/readers, as well as qualify the relationship established between them. The second article approaches grammar and verbo-visual literacy, and makes us wonder: "What contributions can grammar teaching offer to develop verbo-visual literacy to high-school students?". The article scrutinizes the selected textbook and proves how it concretely answers this question by examining the proposed activities that deal with verbo-visual utterances.

In the third and last part of the book – Dialogism in art –, literature could not be left out, but there are chapters that explore an art exhibit, *Jorge Amado and Universal*[7]*,* and advertisement texts of a theater play. Adriana Pucci Penteado de Faria e Silva presents a sensitive analysis of the art exhibit, suitable to the artistic object, and is meritorious in showing how to approach a multiple object, founded on a theory which was originally conceived to analyse verbal texts. Familiar with Jorge Amado's work, the researcher, without losing her rigor, seems to walk through the exhibit, listening to and making it possible to hear the author's voice, who is sometimes the narrator, and that of the characters, making it possible to see what she sees. She is also conducted by the curator's voice, his enunciations, which according to the analysis, reflect and refract Amado's poetics.

Jean Carlos Gonçalves brings theater to the third part of the book. In a broad reflection about the theater, which takes into account not only the spectacle, but also the written play, construction and scenic reception phases, rehearsals, talks with the public, specialized reviews, etc., Gonçalves examines two selected verbo-visual utterances that

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[5] Original title in Portuguese: Prática de texto para estudantes.

[6] Original title in Portuguese: Aulas de redação.

[7] Original title in Portuguese: Jorge Amado e Universal.

advertise the spectacle *Black Circus*[8]. He analyses and contextualizes the spectacle, the company, and characterizes its marketing statute dialogically, its way of *invitation*, which echoes Picasso, the circus universe and theatrical symbols.

Elaine Hernandez de Souza brings us fables and makes a careful analysis, with an explicit methodology, of the differences found in *The Ant and the Grasshopper* by Aesop, La Fontaine, and Lobato; taking into account the illustrations, she also describes the non-converging relationship between the verbal text and the drawings. Souza thus considers fables verbo-visual utterances and characterizes the dialogical relationships established between the fables, between the linguistic and imagery materiality, between each fable and its socio-historical context, as well as between everyday life and art found in the texts.

The two last chapters look into *Barren Lives*[9] and *The Devil to Pay in the Backlands*[10]. Maria Celina Novaes Marinho places *Barren Lives* under dialogical focus and characterizes the articulation of voices, which builds the architecture of the text. Marinho recognizes the characters as "beings who speak, not only being spoken of by the author". She signals identity groups who are defined in their struggle against each other, and examines the representation of the different voices, citation forms, appreciative tones, the relationship between the internal and external world. There we find precise theory, fine analysis and equilibrium between the two.

In the last chapter, Sandra Mara Moraes Lima wants to listen to the maternal voice, which echoes in *The Devil to Pay in the Backlands*. She states that her objective is not to analyse the whole work, but she intends to "promote a reflection about language and man, his being/doing in the world". Firstly, she looks for the role of the mother's speech in the acquisition and construction of child language within Bakhtin's theory, then, the author dedicates herself to the recognition, in Riobaldo's words, of the resonance of the mother's voice, a voice that he has always "revered". Following this path, and accepting the proposition of the analogy that considers the work by Guimarães Rosa "a portrait of Brazil", the chapter examines how this literary text refracts women's role in society, as well as the role of mestizas in building the country's identity.

Dialogism: theory and (in) practice is a broad and dense study that allows for the understanding of Bakhtin's ideas, the promotion of their debate and development. As we tried to show, the book insists mainly on one or another concept, over which more is written, thus bringing light to its actuality and productivity. By showing the contribution of Bakhtin's ideas operating on the present domains of discourse studies, the book guides the reader into recognizing the articulation of voices that presides and clarifies the most varied *corpora* analysed. Thus, theoretical contributions and analyses results, besides methodological questionings and educational applications, are assembled herein.

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[8]   Original title in Portuguese: Circo Negro.

[9]   Original title in Portuguese: Vidas Secas.

[10]   Original title in Portuguese: Grande Sertão: Veredas.

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Translated by Grazyna Anna Bonomi

LANGUAGE AND SPEECH: ORGANIZATION MODES[1]

Antonio Escandiel de SOUZA[*]

Organized by Aparecida Lino Paulikonis and Ida Lucia Machado, the book" Language and Speech: organization schemes", from Patrick Charaudeau, published by Contexto, is the result of a joint effort of the Interdisciplinary Circle of Discourse Analysis (ICDA, Rio), of the Faculty of Letters of the Federal University of Rio de Janeiro (FURJ) and the DAC (Discourse Analysis Center) of the Federal University of Minas Gerais (FUMG), Faculty of Arts, in Brazil, and the Centre d`Analyse Du Discours (CAD), from Paris XIII, in France. For years the above mentioned laboratories have maintained contact with the CAD, through the agreement between CAPES/COFECUB, and these partnerships have brought interesting contributions to research. However, despite these important relationships, researchers realized that an important part of Patrick Charaudeau's studies was not yet within the reach of the Brazilian public. Once this gap became evident, and the importance of Charaudeau's work recognized, researchers of the Brazilian context gathered around some of his writings, especially those that reflect the general lines of his Semiolinguistic Theory, translating and adapting them to the Portuguese language, which resulted in this book.

The organizers point out to the notion of "adaptation" and mention that it is possible that many researchers who have already studied the Semiolinguistic Theory recognize some passages from published works by that author. However, under the supervision of the author himself, this team organized a mix of various writings, turning this work into new material as compared to a simple translation. From this perspective, many concepts were reviewed or remodeled in this edition, several tables were revised and presented again, according to the current state of the theory, several other reformulations won contemporary hues and the examples were brought to the reality of the Brazilian context. The work is justified for several reasons. The linguist that inspired it always exposed innovative concepts about Discourse Analysis, among which the "Language Act" and the roles given to the different participating subjects, phycosocial subjects and those who work with language, internal and external to such Act; the importance that is attributed to both explicit and implicit sense, always considering the circumstances of the speech that determine such Act; the contracts governing them, the different

discursive procedures by which the speech can be organized and which are of expository, descriptive, narrative and argumentative order (CHARAUDEAU, 2014, p.10). The book follows two of Patrick Charaudeau's main lines of thought. The first presents a reflection on the Discourse, the protagonists of the Language Act and its relation to the discursive sense; the second highlights basic principles that refer to the discursive organization of different acts of communication which we face as speaking subjects during our lives. It is worthwhile to point out that at certain moments, the organizers, through a critical approach, question the way the speech organization schemes are addressed by textbooks and the teaching of the Portuguese language in schools (CHARAUDEAU, 2014, p.107). Aiming to better understand this issue, the professors present a definition as well as a function attributed to them, all properly explained through examples of journalistic texts, literary texts and the internet, as well as textbooks.

The work seeks to: 1) show Charaudeau's vision on the Language Act. It is a rich and complex phenomenon of communication, an activity that takes place in the theater of each one´s individual life and whose placement on the scene results from various linguistic and situational components; 2) disclose to the Brazilian public consistent and clear analytical-discoursive notions, excellent theoretical tools which can be applied in the analysis of different "corpora" linked to this so fluid and so fascinating theme that is the Discourse (CHARAUDEAU, 2014, p.10). In his preface, translated by Angela M.S. Correa, Patrick Charaudeau himself states that the book is an adaptation work of this Brazilian research group from some of his notes, and expects the material to enable all researchers and teachers, as well as all lovers of language, to analyze the specificities of the discourses that circulate in the Brazilian society, since it is true, according to him, that every discourse is a testament of the cultural specificities of each country. In making such statement, the author shows the importance of the work to all Brazilian researchers who dedicate part of their time to the study of language and discourse analysis. This position meets the objectives that are proposed by the researchers of three laboratories who did not measure efforts to create opportunities, through the publication of this book, to disseminate Charaudeau's ideas in the Brazilian context. "A semiolinguistic problematics in speech study" is the title of the first part of the book, focusing in addressing problems in discourse analysis. At the beginning, when approaching the limits of the Discourse Analysis territory, the organizers point out that they propose to carry out a first path, called by them " language field", making it clear that such exploitation will not be of non-historical and non-exegetical nature. The text brings some reflections on what certain linguistic and semiotic theories propose as attitudes toward language, highlighting, among the conclusions, that the communication process is not the result of a single intention, given that it is necessary to consider not only what could be declared intentions of the issuer, but also what says the language act about the particular relation that links the issuer and the receiver. The idea is that a given language act presupposes that we ask ourselves about it, about the different readings that it is likely to suggest, which leads us to consider it as a double object, consisting of an explicit (what is expressed) and an implicit (place of multiple

senses that depend on communication conditions) (CHARAUDEAU, 2014, p.17). As a result, the text brings the assertion that a Semiolinguistic Discourse Analysis is semiotic in examining an object that only constitutes itself through intertextuality. The latter depends on the subjects of the language, seeking to extract possible signifier from it. The text also states that a semiolinguistic discourse analysis is linguistic due to the fact that the instrument used to interrogate the subject is built after a structural concept of work facts developed by those who work with language. In other words, these different attitudes toward language presented by Charaudeau refers to different ways of looking at the objects, the method and the knowledge.

The text draws attention to the fact that it leads the reader to think about certain questions, which summarize the goals of the semiolinguistic proposal. These questionings refer to sign concepts, communication and language competence, and will work, from now on, like axes around which other sections of the book will develop. As a result, in the first half, it is possible to see the emphasis on the issue of double dimension, explicit and implicit, of the language phenomenon. In a very didactic way, from definitions and examples by means of equations and diagrams, the organizers lead the discussion on the Metadiscursive Nucleus. The dialogic relationship of the speech act, while production and interpretation, is evidenced, for example, by the explanation of contracts and speaking strategies. Communication situations are presented in detail and the subjects of language are defined: addressee, interpreter, utterer and communicant. The language act as an inter-enunciative act implies the supposed knowledge that circulates among the protagonists of language; the subject, producer of the language act, and the interlocutor, subject of this act. The issue of production and reception, in relation to the language act as staging, is a central point of the work.

Ending the first part of the book, the researchers state that, in order to analyze a language act, it is important to consider not only the intention of the communicating subject, but also who the text induces to talk or which subjects the text induces to talk, which, from a semiolinguistic perspective, gives rise to possible intepretative doings.

The second part of the book deals with the organization of discourse and is divided into principles of discourse organization, enunciation organization mode, descriptive organization mode, narrative and argumentative organization mode. These five texts are divided into various very didactic topics, presenting illustrative examples, which makes reading easy to understand. When focusing on the principles of speech organization, the organizers emphasize that the book is an adaptation of the last "Grammar of Meaning and Expression", produced by Patrick Charaudeau in 1992, directed to the Brazilian readers and whose content is the true foundation of the language: the discourse (CHARAUDEAU, 2014, p.67). As the focus is on communication, the text describes that to communicate is to act and, therefore, the texts may be subject to a classification in genres and should not be confused with organization modes, since a given genre may result in one or various discourse organization modes and the use of various language categories (CHARAUDEAU, 2014).

Finally, the book focuses on discursive staging and genres from reflections involving the subject of communication, texts and genres. Because research in this field of discourse analysis is not yet conclusive, the organizers present a table with some correspondences between modes of discourse and genres.

In relation to the enunciation organization mode, the editors, in an emblematic way, return the focus to the protagonists, to the speech beings, internal to language. The text describes that to enunciate is to organize the categories of language and distinguish the three functions of the enunciation mode: to establish a relationship of influence between speaker and listener (ALLOCUTIVE behavior), to reveal the views of the speaker (ELOCUTIVE behavior) and return to the talk of a third character (DELOCUTIVE behavior) (CHARAUDEAU, 2014, p.82).

Later, the work explains the procedures of this enunciative construction, which are classified as linguistic and discursive. In order to illustrate, some procedures of the first item are presented: interpellation, injunction, authorization, suggestion, appreciation, possibility, proclamation, statement, promise. The discursive procedures are described in different speech organization modes, throughout the work, considering that it comes from the effects of knowledge, reality / fiction, confidentiality and gender (descriptive scenario) in order to involve the reader in the intervention modes, statutes and points of view of the narrator (story scenario) in the different position of the argumentative subject and values attributed to arguments (argumentative scenario). After showing an illustrative picture of the enunciative construction procedures, describing the relation between enunciative behaviors and the enunciative specifications, as well as the correspondent language categories, each one of these categories of languageis discussed in detail. In a creative and critical approach, the organizers discuss, at last, the descriptive, narrative and argumentative organization modes, questioning the methodology with which these modes of organization are addressed in school exercises. Aiming to clarify these erroneous approaches, it is possible to imply, in these three final texts the task of defining these modes and their functions. The illustrative examples from different sources, such as newspaper articles, didactic books, literary texts and texts from the internet were efficiently exploited, which can lead teachers to think about the language approaches to be used in class.

Notewothy, too, was the team responsible for the translation work, constituted by Angela Maria da Silva Correa (ICDA-RIO), Emilia Mendes (NAD-FUMG), Lilian Manes de Oliveira (ICDA-RIO), Lucia Helena Martins Gouvêa (ICDA-RIO), Marco Barbosa Venicio (ICDA-RIO), Norma Cristina Guimarães Braga (ICDA-RIO) and Rosane Santos Mauro Monnerat (ICDA-RIO). The dedication of these professionals made possible, through a competent translation work, the circulation of Charaudeau's ideas in the Brazilian context.

It is a work full of merits, among which are worth mentioning the illustrative examples and the didactic way terms are defined. Language and speech can be characterized as instruments to analyse, appropriately, the specifications of the discourses that circulate in Brazilian society.

Besides contributing to the enrichment of discussions on Discourse Analysis, this book disseminates the ideas of Patrick Charaudeau. In this sense, this book is not only intended to scholars of linguistics, but also to all those who wish to better understand the communication process. In its 256 pages, the work can achieve the goal it has set itself and clarifies Charaudeau's notes, becoming therefore relevant also to beginners in the theories of discourse analysis, especially Semiolinguistics Theory.

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SUBJECT INDEX

AUTHOR INDEX

PAPER SUBMISSION INSTRUCTIONS

Alfa: Revista de Linguística

1. Editorial policy

ALFA – Revista de Linguística – the linguistics journal of the São Paulo State University (UNESP), sponsored by the Research Provost, publishes papers authored by professors, researchers, and PhD students in co-authorship with professors and researchers from national and international institutions of learning, teaching and research. Maximum number of co-authors should be 3. Regular issues are organized in a "continuous flow" system, and special issues are edited according to the organizers' convenience. The journal publishes papers, book reviews, interviews and translations with a substantial contribution to any of the various branches of Linguistics.

Contributions in the form of articles should be original and unpublished and cannot be simultaneously submitted for publication in other journal. Only reviews of books published in Brazil in the last 2 years and abroad in the last 4 years should be submitted for publication in the journal. Translations should be preferably of scientific articles and book chapters published within twelve months of submission; interviews should be conducted with researchers with academic prestige acknowledged in Brazil and abroad.

All submissions are read by two anonymous referees. Authors' identities are not revealed to the referees. Should the judgment of the two referees be inconsistent, a third referee will be called in. Once the refereeing process is concluded, the review copies are sent to the author, or to the first author of co-authored papers, with the appropriate instructions.

Papers can be written in one of the following languages: **Portuguese, English, French, Spanish**, or **Italian**. In papers written in **Portuguese**, *TÍTULO, RESUMO*, and *PALAVRAS-CHAVE* should come before the body of the paper, and their English versions, *TITLE, ABSTRACT*, and *KEY-WORDS*, after it. In papers written in any of **the other languages**, the corresponding elements that come before the body of the paper should be written in the same language the paper was written; the corresponding elements that come after the body of the paper should be written in **Portuguese** for papers written in **English** and in **English** for papers written in **French, Spanish**, or **Italian**.

All articles are published in a bilingual format, with English necessarily as the second language version. Authors who submit for approval an article originally in English must, in case it is accepted, provide its version in Portuguese, following the same guidelines indicated for the English language. Only articles with accepted versions in Portuguese (or another chosen language) and English

will be published. If both versions are not accepted, the article will not be published.

The journal editor reserves the right to return a manuscript if it departs from the style requirements. When applicable, a personal letter will be sent to the author, asking for improvements and adaptations.

Authors are responsible for the data and concepts expressed in the paper as well as for the correctness of the references and bibliography.

2. Online submissions

To submit a paper, authors must be registered on the journal's website. To register, create a login name and a password by clicking **Acesso** (Access) on the journal's website. After logging in, fill in the profile by clicking **Editar Perfil** (Profile Editing) and start the submission process by clicking **Autor** (Author) and then **CLIQUE AQUI PARA INICIAR O PROCESSO DE SUBMISSÃO** (Click here to start the submission process). Follow the **five-step submission process** below:

Step 1. Confirm the agreement to the Journal Policies (**Condições de submissão**) and the Copyright Terms (**Declaração de Direito Autoral**) by checking the appropriate boxes. Select either **Artigo** (Paper) or **Resenha** (Review paper). Save the form and go to step 2.

Step 2. Enter metadata: first name, last name, e-mail, bio statement, and paper title are obligatory. Save the form and go to step 3.

Step 3. Upload the paper file. Go to step 4.

Step 4. If necessary, upload supplementary files such as appendixes and annexes with research tools, data and tables, which should conform to the ethical standards of assessment, sources of information usually unavailable to readers, and pictures or tables that cannot be inserted into the text itself. Go to step 5.

Step 5. Confirm the submission.

After confirming the submission, authors will receive a confirmation e-mail from the journal editor. After submission, authors can follow the process up, from submission and acceptance, through assessment and final version preparation, to on-line publication.

After submission, articles will be assigned to reviewers by the Editorial Board or special issue editors. The journal's Editorial Board and Editors are responsible for the policy of paper selection, which is available at the link **Sobre a Revista>Processo de Avaliação por Pares** (About the Journal>Peer Review Process).

3. Preparation of manuscripts

3.1. Presentation

Authors should ensure that their electronic copy is compatible with *PC/MSWord*, and use *Times New Roman*, *12-point* size. The page size should be set to A4 (21cm x 29.7cm), and the text body should be one-and-a-half spaced throughout. Leave 3 cm from the top of the page and on the left margin, and 2.0 cm from the bottom of the page and on the right margin. Articles should have a minimum of 15 pages and not exceed **30 pages**, including bibliography, appendixes, and annexes. The text must meet the rules of Portuguese new orthographic agreement, which became mandatory in Brazil from January 2016. Two versions of the paper must be submitted: one containing the name and

academic affiliation of author(s), and one in which all references to the author(s), including citations and bibliographical references are erased.

3.2. Paper format

The format below should be followed:
Title. The title should be centered and set in **bold** CAPITALS at the top of the first page. Runover* titles should be single-spaced.

Author's name: The name of each author follows the title and should be given in full with the surname in CAPITALS and aligned to the right margin, on the third line below the title, with a footnote marked by an asterisk referring to metadata in the following order: acronym and full name of the institution to which author(s) is(are) affiliated, city, state, country, zip code, e-mail.

Abstract. The abstract, which must summarize the contents of the paper (goals, theoretical framework, results, and conclusion), should conform to the following: it should appear on the third line under the name(s) of the author(s), contain at least 150 and at most 200 words, be single-spaced, and, with no indentation for the first line, be preceded by the word ABSTRACT in CAPITALS in the same language of the paper,

Keywords. Each keyword (seven, at most) is followed by a period. They should be preceded by the word KEYWORDS in CAPITALS, and appear two lines below the abstract. The Editorial Board suggests that the keywords should match general concepts of the paper subject domain.

Body of the paper. The body of the paper should be one-and-a-half-spaced throughout. It begins on the third line below the keywords.

Subsection titles. The subsection titles should be typeset in **bold** and aligned to the left margin. They should not be numbered. There should be two one-and-a-half-spaced blank lines before and one one-and-a-half-spaced blank line after each subsection title.

Acknowledgements. Acknowledgements should conform to the subsection title layout, and should be preceded by the word **"Acknowledgements"** set in **bold**.

Title in English. For papers written in Portuguese, French, Spanish and Italian, the title in English (with no capitals and no bold) should be placed two blank single-spaced lines after the paper text body.

The abstract in English. For papers written in Portuguese, French, Spanish and Italian, the abstract in English should be typeset in *italics*, be preceded by the word *ABSTRACT*, typeset in *italics* and in CAPITALS, with no indentation for the first line, be single-spaced, and be placed three blank single-spaced lines after the title in English.

The keywords in English. For papers written in Portuguese, French, Spanish, and Italian, the keywords in English should be typeset in *italics*, be preceded by the word *ABSTRACT*, typeset in *italics* and in CAPITALS, and be placed three blank single-spaced lines after the abstract in English.

NOTE: For papers written in English, the title, abstract, and keywords referred to in 7, 8 and 9 above, respectively, should be written in Portuguese.

References. The subtitle **References** should be set in **bold**, with no indentation for the first line, and placed two blank

single-spaced lines after the keywords. The reference list should be single-spaced and ordered alphabetically and chronologically (see 3.3.1 below), placed three blank single-spaced lines after the keywords in English. **12. Bibliography.** The bibliography list, if essential, should come after the reference list. The word "**Bibliography**" should be set in **bold**, with no indentation for the first line, and placed three blank single-spaced lines after the reference list, aligned to the left. It will include all works not mentioned in the paper or in its footnotes.

3.3. Further instructions

3.3.1 Reference guidelines Both reference and bibliography lists should be ordered alphabetically by the last name of the first author. A single space should separate one reference item from the other. The names of the translators must be specified. Examples:

Books

AUTHIER-REVUZ, J. **Palavras incertas:** as não coincidências do dizer. Tradução de Cláudia Pfeiffer et al. Campinas: Ed. da UNICAMP, 1998.

CORACINI, M. J.; BERTOLDO, E. S. (Org.). **O desejo da teoria e a contingência da prática.** Campinas: Mercado das Letras, 2003.

LUCHESI, D. **Sistema, mudança e linguagem**: um percurso na história da linguística moderna. São Paulo: Parábola Editorial, 2004.

Book chapters

PÊCHEUX, M. Ler o arquivo hoje. In: ORLANDI, E. P. (Org.). **Gestos de leitura: da história no discurso**. Tradução de Maria das Graças Lopes Morin do Amaral. Campinas: Ed. da UNICAMP, 1994. p.15-50.

Thesis and dissertations

BITENCOURT, C. M. F. **Pátria, civilização e trabalho**: o ensino nas escolas paulista (1917-1939). 1998. 256 f. Dissertação (Mestrado em História) – Faculdade de Filosofia, Letras e Ciências Humanas, Universidade de São Paulo, São Paulo, 1998.

Papers in journals

SCLIAR-CABRAL, L.; RODRIGUES, B. B. Discrepâncias entre a pontuação e as pausas. **Cadernos de Estudos Linguísticos**, Campinas,n.26, p. 63-77, 1994.

Online papers

SOUZA, F. C. Formação de bibliotecários para uma sociedade livre. **Revista de Biblioteconomia e Ciência da Informação**, Florianópolis, n.11, p. 1-13, jun. 2001. Disponível em: <...> Acesso em: 30 jun. 2001.

Newspaper articles

BURKE, P. Misturando os idiomas. **Folha de S. Paulo**, São Paulo, 13 abr. 2003. Mais!, p.3.

EDITORA plagiou traduções de clássicos. **Folha de S. Paulo**, São Paulo, 4 nov. 2007. Ilustrada, p. 6.

Online publications

UNIVERSIDADE ESTADUAL PAULISTA. Coordenadoria Geral de Bibliotecas. Grupo de Trabalho Normalização Documentária da UNESP. Normalização Documentária para a produção científica da UNESP: normas para apresentação de referências. São Paulo, 2003. Disponível em: <...>. Acesso em: 15 jul. 2004.

Paper in edited volumes, conference proceedings, and working papers

MARIN, A. J. Educação continuada. In: CONGRESSO ESTADUAL PAULISTA SOBRE FORMAÇÃO DE EDUCADORES, 1., 1990. **Anais**... São Paulo: UNESP, 1990. p. 114-118.

Films:

Macunaíma. Direção (roteiro e adaptação) de Joaquim Pedro de Andrade. Filmes do Serro/Grupo Filmes/Condor Filmes. Brasil: 1969. Rio de Janeiro: Videofilmes, 1969. Versão restaurada digitalmente, 2004. 1 DVD (105 minutos), color.

Paintings, photographs, illustrations, drawings:

ALMEIDA JÚNIOR. **Caipira picando fumo**. 1893. Óleo sobre tela. 17 cm X 23,5 cm. Pintura pertencente ao acervo da Pinacoteca do Estado de São Paulo.

PICASSO, Pablo. **[Sem título]**. [1948]. 1 gravura. Disponível em: <http://belgaleria.com.br>. Acesso em 19 ago. 2015.

Music CDs (as a unit or tracks)

CALAZANS, T. **Teca Calazans canta Villa Lobos**. Rio de Janeiro: Kuarup Discos, 1999. 1 CD.
CALAZANS, T. Modinha. In: CALAZANS, T. **Teca Calazans canta Villa Lobos**. Rio de Janeiro: Kuarup Discos, 1999. 1 CD.

3.3.2. In-text references and quotations

For references in the text, the surname of the author should be in CAPITALS, enclosed in parentheses; a comma should be placed between the author's last name and year, e.g. (BARBOSA, 1980). If the name of the author is part of the text, only the year is enclosed in parentheses: "Morais (1955) argues..."

Page numbers follow the year and are preceded by "p."; note a comma and a space between year and "p.", and between "p." and the number, e.g. (MUNFORD, 1949, p. 513).

References of the same author with the same year should be distinguished by using lower case letters in alphabetical order, e.g. (PESIDE, 1927a), and (PESIDE, 1927b). For references with one author and up to two co-authors, semi-colons are used to separate the surnames, e.g. (OLIVEIRA; MATEUS; SILVA, 1943); for references with more than two co-authors, the expression "et al." substitutes for the surnames of the co-authors, e.g. (GILLE et al., 1960).

Quotations longer than three text lines should be set in 11-point font size, and set out as a separate paragraph (or paragraphs) on a new line. The paragraph (or paragraphs) should be 4.0 cm from the left margin throughout, without any quotation marks. Quotations shorter than three text lines should be included in double quotation marks in the running text. Quotations from texts in foreign languages must be translated into Portuguese. Published translations should be used whenever possible. The original text should appear in a footnote.

3.3.3. Italics, bold, underlining and quotation marks

Italics: Use italics for foreign words, book titles int the body of the text, or for emphasis.
Bold: Use bold only in the title of the article and in the text headings and subheadings.
Underlining: Avoid using underlining.
Quotation marks: can be used to highlight parts of the major works, such as titles of poems, articles, chapters. The major works should be highlighted in italics, as the statement above; quotation marks must be used in the body of the text for quotations of excerpts of works. Example: A linguística é uma disciplina que "[...] se baseia na observação dos factos e se abstém de propor qualquer escolha entre tais factos, em nome de certos princípios estéticos e morais" (MARTINET, 1972, p.3).

3.3.4. Footnotes

Footnotes should be kept to a minimum and placed at the bottom of the page. The superscript numerals used to refer to a footnote com after any punctuation sign (comma, semicolon, period, question mark, etc.).

3.3.5. Figures

Figures comprise drawings, graphs, charts, maps, diagrams, formulas, models, photographs, x-rays. The identifying caption should be inserted above the figures, centered, preceded by the designation word designative (Chart, Map, Figure etc); if there is more than one, figures must be numbered consecutively in Arabic numerals using the same font and size of the body of the text. Indication of the source and other information necessary for its understanding should appear below the figure. Figures should be submitted as separate files, saved in the program in which they were generated. Maps, photographs and radiographs should also be submitted as separate files, high-resolution (300 dpi). Author(s) are responsible for image copyrights.

3.3.6. Tables and text frames

Tables should be used to present statistical information, and text frames should be used to summarize and organize textual information. The title is inserted above the table, centered, beginning with **Table 1** in bold, followed by a hyphen and the title without emphasis, in the same font and size of the body text; the title of figures should be presented above the figure,

centered, beginning with Figure 1 in bold, followed by a hyphen and the title without emphasis, in the same font and size of the body text. The numbering is consecutive, in Arabic numerals; if you need to specify the data source, it must be placed below the table or the table and the text aligned to the left. Tables should be built with the open side borders and no lines separating columns.

3.3.7. Appendixes and Annexes

When absolutely necessary to the text comprehension, and within the limit of 30 pages, Annexes and / or appendixes, following the subsection style, should be included in the end of the paper, after the references or bibliography.

3.3.8. Review format

The review should contain, at the beginning, the complete reference to the book being reviewed, including number of pages, in Times New Roman, 14 point size, single spaced, no title, no summary, no keywords. The name(s) of the review author(s), in 12 point size, must appear on the third line below the reference of the book reviewed, preceded by "reviewed by [name(s) of author(s)]". Names must be followed by an asterisk referring to a footnote containing the following information: full name and acronym of the institution to which the review author(s) belong; city; state; country; zip code; email. The text of the review should begin on the third line below the name(s) of the author(s) in Times New Roman, 12 point size 12 and spacing 1.5.

Page format is as follows: paper size: A4 (21.0x 29.7 cm); left and top margins 3.0 cm, right and lower 2.0 cm; minimum length of 4 and maximum of 8 pages, including bibliographic references and annexes and/or appendices; indentation: 1.25 cm to mark the beginning of the paragraph; spacing: 1.5.

3.3.9. Translation format

Translated articles are subjected to a peer review process, to decide on the opportunity and the convenience of their publication. They should follow the article format, where applicable. In the second line below the name of the author of the translated text, right-aligned, the name(s) of the translator(s) should appear in the following format: "Translated by [name(s) of the translator(s)]", with an asterisk referring to a footnote with the following information: full name and acronym of the institution to which the translator(s) belong; city; state; country; zip code; email. The translated text must be accompanied with a written authorization of the publisher responsible for the original publication.

3.3.10. Interview format

Interviews are subjected to a peer review process, which decides on the opportunity and the convenience of its publication. The format of the interview is the same required for articles, but the title should contain, besides the general theme, the expression "Interview with [interviewee name]", without emphasis, with an asterisk referring to a footnote containing a brief review of the biography of the

interviewee, which clearly demonstrates her/his scientific relevance. The author(s) of the interview should follow, according to the rules established for articles.

3.3.11. English version

The author(s) of paper accepted for publication in Portuguese, French, Spanish or Italian must provide the English version of the text until the deadline shown in the e-mail notification of acceptance. The standards for citation of authors in the text and the references of the English version are the same as the ones in Portuguese. *Alfa* appoints reviewers to evaluate the English version of the article. The review is restricted to checking the quality of translation, i. e. adequation to the standard norms of English usage for research papers.

In case there are citations of works with an English-language edition, this edition should be used both in the text and in the references. In case there is no English edition, the quoted text should be translated into English, and the text in the original language of the edition used must be included in a footnote.

If the text contains figures scanned from advertisements in newspapers, magazines or similar midia, in Portuguese or another language, the English version of the text must be included in a footnote.

When the text contains examples the understanding of which involves the need to clarify morphosyntactic features, a literal version of them in gloss should be included, followed by the common English translation in single quotation marks. Example:

(1) isso   signific-a   um   aument-o   de   vencimento-s (D2-SP-360)
     this   mean-IND.PRS.3.SG a.M   raise-NMLZ of   salary-PL
     'this means a raise in salary.'

Conventions for the glosses: ***The Leipzig Glossing Rules: conventions for interlinear morpheme-by-morpheme glosses***, edited by the Department of Linguistics of the Max Planck Institute for Evolutionary Anthropology (Bernard Comrie, Martin Haspelmath) and the Department of Linguistics at the University of Leipzig (Balthasar Bickel); available in http://www.eva.mpg.de/lingua/resources/glossing-rules.php.

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