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THEMATIC STRUCTURE IN BRAZILIAN PORTUGUESE ABSTRACTS IN ENGLISH TRANSLATION: STEPS TOWARDS A DISCUSSION OF TEXTUAL COMPETENCE

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To **Geni,** my dear mother, without whom this thesis would not exist.

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ABSTRACT

THEMATIC STRUCTURE IN BRAZILIAN PORTUGUESE ABSTRACTS IN ENGLISH TRANSLATION: STEPS TOWARDS A DISCUSSION OF TEXTUAL COMPETENCE

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UNIVERSIDADE FEDERAL DE SANTA CATARINA

2002

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In the context of the need to submit research for publication, Brazilian academics face the problem of translating abstracts written in Brazilian Portuguese into English. In order to produce grammatically and structurally correct texts in the target language, translators of abstracts use some translation strategies which, sometimes, disturb thematic structure in the TTs. This dissertation aims to analyze translators' textual competences, through a study of strategies in order to identify how translators deal with the issue of thematic structure. Two kinds of data are used in this study, (i) a multilingual data source, which serves as the background for the analysis of the translated texts, and (ii) a parallel data source, which serves for the analysis of translation strategies.

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RESUMO

THEMATIC STRUCTURE IN BRAZILIAN PORTUGUESE ABSTRACTS IN ENGLISH TRANSLATION: STEPS TOWARDS A DISCUSSION OF TEXTUAL COMPETENCE

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2002

Orientadora: Prof. Dr. Maria Lúcia Barbosa de Vasconcellos

Ao submeter uma pesquisa para publicação, acadêmicos brasileiros enfrentam o problema de traduzir os resumos escritos em Português Brasileiro para o Inglês. A fim de produzir textos gramaticalmente e estruturalmente corretos na língua de chegada, tradutores de abstracts usam algumas estratégias de tradução que, algumas vezes, perturbam a estrutura temática do texto de chegada. O objetivo desta dissertação é analisar a competência textual dos tradutores, através do estudo de estratégias visando identificar como tradutores de abstracts lidam com a estrutura temática do texto de partida no texto de chegada. Dois tipos de dados fazem parte do estudo, (i) *multilingual data source*, que servirá de base para a análise dos textos traduzidos, e (ii) *parallel data source,* para a análise de estratégias de tradução.

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Notations and Abbreviations

- Double quotation marks are used for quoting the theorists in the body of the text;
- Single quotation marks are used for marking quotes made by these theorists in their texts and
- For items used in senses different from those in their original meaning;
- Italics for my highlights and
- For the names of the journals used for this work.

SA – Abstracts in Brazilian Portuguese

TA- Abstracts translated into English

A(SV) – Adjunct – Subject – Verb

A(VS) – Adjunct –Verb Subject

CD – Communicative Dynamism

TS – Translation Studies

SL – Source Language

TL – Target Language

ST – Source Text

TT – Target Text

BP – Brazilian Portuguese

RQ – Research Question

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CHAPTER 1

INTRODUCTION

Translation quality assessment proceeds according to the lordly, but completely unexplained, whimsy of 'It doesn't sound right.

Fawcett, 1981:142.

1.1 Context of investigation

In 1988, James Holmes put forward his ideas envisioning a scientific 'discipline' which would tackle the problems of the phenomena of translating and translation. This discipline should emerge as an empirical discipline in Descriptive Translation Studies (DTS), and should mainly split into Pure and Applied Branches of Translation Studies. My dissertation is located within the Applied Branch of the discipline, which is "of use rather than of light" (p. 181), since it considers the applications that go beyond the limits of the discipline itself, that is, translation teaching.

This research is placed in the interface of Translation Studies and Systemic Linguistics, focusing on the investigation of the translation of abstracts published in the specific area of Business Administration, in nationwide journals, in the year 1999. The topics of (i) description of abstracts structure and (ii) translation of abstracts have already been explored in the pertinent literature. An important study was done by Santos (1996) in which he worked with the notion of *genre* put forward by Swales (1990). Despite not being a translator, but a linguist, Santos' contribution to the area was to provide a description of characteristics that constitute abstracts, mainly at a macro-structural level. However, the micro-structural level is crucial in teaching someone to manipulate the linguistic material that, necessarily, is part of a translation. Micro-structural analysis was not part of his study.

A seminal text on the translation of abstracts is Johns' (1992) "*It is presented initially: Linear dislocation and interlanguage strategies in Brazilian abstracts in English and Portuguese*", an interesting title in the sense that he explores, humorously, typical errors he found in his investigations of Brazilian abstracts translated into English. Johns, who is not a translation theorist but an Applied Linguist, carried out his research analyzing the translation of abstracts in different academic areas, which, while yielding useful insights into academic discourse in general, failed to produce features characteristic of specific areas. Taken as a source on which Translation Studies can draw, his contribution to the discipline of Translation Studies (TS) was the micro-structural focus, with the examination of those linguistic features that might facilitate or interfere with the communication of the research. He suggested categories of analysis of errors in translating abstracts, on the basis of the translational behavior suggested by the abstracts in translation.

Baker (1992), who is a translation theorist, focused on the tension between word order and communicative function in the translation of abstracts. She based her reflections on the findings of Johns′ study (*ibid.*), and also drew upon Papagaaij and Schubert (1988) to suggest a revised version of Johns′ categories. Her contribution to the field was an attempt to show how translators try to minimize linear dislocation in the translation of abstracts from Portuguese into English. Both Baker and Johns emphasize a micro perspective, in the sense that they examine the linguistic features in the translation of abstracts. However important these studies are, they fail to take into account the macro-structure of abstracts in their home environments, which would enable the derivation of typicalities in this genre in both languages.

The research discussed above provided good insights for the area of TS, but no individual contribution could, by force of the approach adopted, generate a taxonomy encompassing both macro- and micro-perspectives. The terms macro- and micro-perspectives are used here in the sense suggested by Kenny (1998:53) in the entry *Corpora in Translation Studies*, in the Routledge Encyclopedia of Translation Studies (Ed. Baker): micro perspectives are those which proceed from botton-up, using concrete facts to make generalizations, and starting with small linguistic units; macro perspectives proceed top-down with an interest in finding evidence to support abstract hypothesis, starting with large units, such as the context and the text. Along similar lines, Hatim and Masom (1990:150-151) define bottom-up processing (or micro processing) on the basis of *textual evidence* and top-down processing (or macro processing) as a means of approaching the text "on the basis of information", gathered from textual and contextual evidence. A combination of the two perspectives (micro and macro) would be able to provide a description of the linguistic patterns emerging in the translated abstracts and in those patterns emerging in the abstracts in their home environments.

Considering this situation, my dissertation, which has both grammatical and textual purposes, intends (i) to focus on the strategies used in translating abstracts, (ii) to analyze the thematic structure in both Brazilian Portuguese and English and how translators of this text typology dealt with this issue in the translation, and (iii) to analyze the treatment of errors found in the Brazilian journals, looking for tendencies of this kind of text typology. As my research interest is also extended to translator training, I feel the need to come up with a conceptualization of the notion of *error* as related to the specific context of the translation of abstracts. This concern is the thrust that leads to inquire into de discussion of the concept of error in translation. Some researchers have devoted time and energy to the definition of translation errors, proposing specific taxonomies. Hatim & Masom (1997), Kussmaul (1995), Pym (1995) and Gile (1993) particularly offered good contributions. In the Brazilian context, Aubert (1993) also contributes with interesting reflections. Their work is crucial in the sense that they have filled a gap in the area of translator training since they provide concrete and tangible tools for the treatment of errors. While Hatim and Masom (1997) focus on a macro perspective working with a number of problems in language use, which they call 'text-level errors, Kussmaul (1995) and Pym (1993) focus on both macro and micro perspectives. The former is concerned with the communicative effect of the translation and proposes categories to analyze larger and smaller linguistic units. The latter classifies errors as *binary and non-binary errors,* where binarism is concerned with rules of grammar, correct vocabulary, spelling, etc., and non-binarism takes into account the variants of the target text and culture. However central their work may be, none of them concentrated on the specific area of the translation of abstracts, which in the Brazilian context, constitutes a very important dimension, since Brazilian academics face the problem of producing linguistically adequate abstracts in English.

The relevance of this research can then be claimed in view of the specificity of the corpus under study (abstracts in translation) and the ever-growing need to set up tools and criteria to inform translator training courses in Brazil. The reason for this interest lies on the fact that as a translator myself and as a translation teacher, I have faced situations in which students ask me what can be considered an error in a translation, and also how to deal with the issue of thematic structure in translation of abstracts

The matching of source-language abstracts in language A (Portuguese) and their translated versions in language B (English) can contribute to materials writing and translator training in the sense that it can give insight into the particular translation practices and procedures which have been used in the translations under study.

In addition, the convention-oriented perspective informing the present research is claimed to provide information on the native pattern found in abstracts produced in Portuguese and English – that is, in their "home" environment and not in translation – which can also contribute to syllabus design in translation training.

In order to answer the questions proposed for the study (see 2.3), covering both macro- and micro-configurations and concentrating on a specific area of translation in a specific field – abstracts within *Business Administration* – the present research aims to offer a contribution to the area of TS by (i) identifying the strategies emerging from the translational behavior in the texts under study; (ii) observing the effect of the strategies used in terms of "error" production in the translated versions; (iii) analyzing linguistic and textual errors in the translations from Brazilian Portuguese into English; (iv) speculating on the interference of errors in the effectiveness of linguistic and communicative functions; (v) observing how translators of abstracts deal with the issue of thematic structure.

1.2 Pilot study

1.2.1 Data Source

The data source for the Pilot Study consisted of seven abstracts taken from Revista de Ciências da Administração, published by Universidade Federal de Santa Catarina. The issue under analysis was number 3, published in the first semester of 2000. The abstracts were written in Portuguese and translated into English. I classified abstracts into (i) AO for the Original Type Text and (ii) AT for the Target Type Text.

1.2.2 Objectives and Research Questions

The pilot study had a twofold purpose:

(i) to identify the tendencies of translational behavior in the text typology under study and

(ii) to analyze the strategies which the translators of the corpus under study more frequently use.

In this context, I addressed the following questions:

(i) Within the abstract text typology, what are the strategies used more frequently by the translators?
(ii) Was there any 'tendency of similarity' in the translations?
(iii) What could explain the occurrences of the so-called 'translational behavior'?

1.2.3 Results Obtained

The results obtained through the analysis of the abstracts, were as follow:

(i) Preferred strategies used: the most used strategy as Voice Change, which is the change of voice, that is, from Passive to Active or vice-versa. This strategy was found in four out of seven abstracts.
(ii) Tendencies of similarity: there was a tendency in changing voices of verbs in English. Also, Pro-Form Insertion was found twice in the same abstract.
(iii) Explanation of the occurrences of the so-called 'translational behavior': I raised some hypotheses in order to explain such behavior: (i) errors are made as a result of the need to make oneself understood in the target language, (ii) interlanguage analogies, that is, the translators take the characteristics of the mother tongue to English, and (iii) analogies with an assumed target language system, where translators try to enter into the target language.

1.2.4 Concluding remarks of the pilot study

What I observed in the study were tendencies of translational behavior inside this specific text typology. I could observe that the hypotheses I raised could explain the tendencies quoted above. I could not raise the topic of conventionality in the production of abstracts in Portuguese and English due to the amount of the data selected for the study. Thus, I could not see how the strategies were really used and if they had produced errors. The data source was too small and I was aware that there were other strategies employed. This is the reason why this dissertation came up.

This dissertation intends to inquire further into similar topics, covering not only the aspects discussed in the pilot study, but also exploring other dimensions, such as analyzing thematic structure both in BP and in English, the occurrences of error and comparing natural patterns of English and Portuguese through an examination of abstracts produced in those languages.

1.3 Objectives and research questions

In the context of the framework discussed above, the present study has a threefold purpose:

(i) To analyze the strategies used in the translation of abstracts in the context of Business Administration from Brazilian Portuguese into English;
(ii) To speculate on the tendencies in dealing with thematic structure in the translation from Brazilian Portuguese into English;
(iii) To speculate on the implications of the findings of this piece of research to translation training.

I will be addressing the following questions:

RQ1 – Which strategies are employed the most in the TTs to deal with the thematic structure of the STs?
RQ2 – Is there any tendency in the use of strategies? Does a pattern emerge?
RQ3 – Are the strategies effective in the production of the TTs?
RQ4 – If the strategies are ineffective, what types of problems arise? Do they result in error?
RQ5 – To what extent can the findings of this piece of research be generalized to translator training?

1.4 Corpus and analytical procedures

Before defining the data source selected for this study, it is important to explain the notion of *Corpora in Translation Studies* and to distinguish between the different types of data source as described in *The Encyclopedia of Translation Studies* which states that "Corpus linguistics is the branch of linguistics that studies language on the basis of data source, i.e., bodies of texts assembled in a principled way". (Baker, 2000:50). Within corpus linguistics, the term corpus is usually used to mean " any collection of running texts ... held in electronic form and analyzable automatically or semi-automatically (rather than manually)" (Baker, *ibid.*). Corpora differ from other large collections of machine-readable texts in that they are built according to explicit design criteria for a specific purpose.

Baker (1993) claims that conceptual and semantic studies that take context into consideration are only possible to be performed through access to real data, in this case a great amount of data, *corpora.* She claims that "there is now an urgent need to explore the potential for *using large computerized corpora in translation studies*" (italics mine).

Since this study does not comply a large amount of data, it is not possible to use the terminology 'corpus' or 'corpora'. For methodological accuracy, I will be using the term 'data source' instead of the terms 'corpus' and 'corpora'. These terms were suggested by Professor Maeve Olohan (UMIST – England) in personal communication, during her visit to UFSC in 2001. From now on this terminology will be used.

1.4.1 Types of Corpora

There is no consensus as regards terminology in the area of corpora and TS, Schäffner (1998) for instance, uses the term 'parallel texts' to refer to a corpus of "L2 and L1 texts of equal informativity, which have been produced in similar communicative situations" (*ibid.*, p. 81). The same term, however, is used by Laviosa (1998) and Baker (1995) to refer to a corpus of source texts and their translation into a target language. Peters and Picchi (1998) follow the latter perspective, using 'parallel' in the same vein. For methodological accuracy, the terms used by Baker (1995) are opted for this research.

According to Baker (1995), there are different types of corpora, which are generally designed on the basis of a number of selection criteria. However, the types of corpora that are either used or need to be set up specifically for translation research come under the all-purpose title of 'parallel corpora', since we assume that translation corpora are not monolingual. The author, however, proposes three main types of corpora, multilingual corpora, (ii) parallel corpora, and (iii) comparable corpora.

1.4.1.1 Multilingual Corpora

They refer to sets of two or more monolingual corpora in *different* languages, which have not been translated, built up either in the same or different institutions on the basis of similar design criteria. They essentially enable us to study items and linguistic features in their home environment, rather than as they are used in translated texts (Baker,1995:232). They are "useful inasmuch as they can provide access to the natural patterns of the target language in particular" (*ibid.*:253). Consequently they play an important role in materials writing, translator training and improving the performance of machine translation systems. However, multilingual data sources cannot explain the phenomenon of translation per se. According to Baker (*ibid*:233), "there is a natural way of saying anything in any language, and that all we need to do is to find out how to say something naturally in language A and in language B". Baker defends the point that if anything can be said naturally in any language, then translation could be defined as 'the replacement of textual material in one language (SL) by equivalent textual material in another language (TL)" (p.233). What she proposes is that it is necessary to explore how a text produced in relative freedom in one language differs from text produced under the normal conditions which pertain to translation.

1.4.1.2 Parallel Corpora

They consist of original, source-language texts in language A and their translated versions in language B. This is the type of translation corpus that one immediately thinks of in the context of translation (Baker, 1995). One relevant aspect in Translation Studies is concerned with the importance in quality of the target text (TT) to be produced. Differently from other text production, translation is a case of secondary text production, where a source text induces a target text. The source text was produced in a particular situation, with a particular purpose in the source culture. As a result of a translation process, the target text is produced in order to fulfill the expectancies of the target recipient, in a particular situation, with a particular purpose in the target culture. The most important contribution 'parallel corpora' offers to the discipline of Translation Studies is that they support a shift of emphasis, from prescription to descriptions based on vast amount of data. They also play an important role in exploring norms of translation in specific contexts, either socio-cultural or historical norms (Baker, 1995:231). This kind of corpora "allows us to establish, objectively, how translators overcome difficulties of translation in practice, and to use this evidence to provide realistic models for trainee translators" (*ibid*:231).

1.4.1.3 Comparable Corpora

They consist of two separate collections of texts in the *same* language: one corpus consists of original texts in the language in question and the other consists of translations into that language from a given corpora or languages. The corpus of original texts is an ordinary monolingual corpus. The most important contribution that comparable corpora can make to the discipline of TS is "to identify patterning which is specific to translated texts, irrespective of the source or target languages involved" (Baker, *ibid.*:234). Comparable corpora do not have direct applications in the classroom and it is not immediately obvious how they might contribute to improving the performance of machine translation systems. According to Baker (1993:234) they make a significant contribution to TS in "elucidating the nature of translated texts as a mediated communicative event".

1.4.2 Option for parallel and multilingual data source in the present research

In the context above, my thesis will take into account two kinds of data source: (i) a parallel data source and (ii) a multilingual data source. The parallel data source will enable me to analyze the translation of the abstracts, since the Brazilian Portuguese version and the English version are placed side by side. It will be possible to analyze the strategies used and the tendencies of translational behavior. The multilingual data source will allow me to analyze the structure of abstracts produced in two different languages, in their home environment and to extend the knowledge of the convention to my practice as a translator and as a translation teacher, and also to other practitioners and teachers.

1.4.3 Selection of data source for the present study

The data source will consist of 36 abstracts produced in their home environment and 53 abstracts translated from Brazilian Portuguese into English.

To analyze this multilingual data source, I will be using a set of five abstracts written in English taken from (i) "The Journal of Business", (ii) another set of four abstracts from "Administrative Science Quarterly", (iii) five abstracts from "The Journal of World Business", and (iv) four abstracts from "Public Administration Journal", all issues published in the year 1999. For the Brazilian Portuguese analysis, I will be using the same number of abstracts from (i) "Revista de Ciências da Administração", published by Universidade Federal de Santa Catarina, (ii) "Revista da Administração Empresarial, published by Fundação Getúlio Vargas, (iii) "Revista de Administração - USP, published by USP, and (iv) "Revista Eletrônica de Administração, published by UFRGS, all issues published in the year 1999.

To analyze the parallel data source, I will be using: (i) 14 abstracts taken from "Revista de Ciências da Administração", published by Universidade Federal de Santa Catarina, (ii) 14 abstracts from "Revista da Administração Empresarial" – RAE – published by Fundação Getúlio Vargas, and (iii) 18 abstracts taken from "Revista de Administração" published by USP, all issues from the year 1999.

The abstracts for the present study were selected on the following basis: (i) those taken from *Revista de Ciências da Administração* published by UFSC, were selected because they present local research carried out at UFSC. It is expected that the present investigation can contribute to improve the production of such texts; (ii) those taken from *Revista de Administração de Empresas – RAE* – published by Fundação Getúlio Vargas, were selected because RAE is a well established, national journal (with international dissemination as well). It is hypothesized that this journal, with its international circulation, might present abstracts translated into English according to the conventions regulating this text type, and (iii) those taken from "Revista de Administração – USP" were selected because it is a well-known established national periodical with excellent reputation in the field of Business Administration.

The periodicals used for the analysis of this multilingual data source were selected based on personal suggestions from teachers, researchers, students and also from business administrators. The four periodicals explored here are well-known journals with wide circulation and excellent reputation largely used by people in the area of Business Administration.

1.5 Analytical Procedures

The methodology adopted in this research was divided into two parts, (i) methodology for the analysis of multilingual data source and (ii) methodology for the analysis of parallel data source

(i) Multilingual data source will be analyzed specifically with a view to establish regularities in the academic text-type. The search for regularities will be based on the following categories:

- (A)VS structure in Portuguese vs. A(SV) structure in English
- Use of voice: active, *"be"*-passive and *"se"*- passive;
- Nominalization
- Word order: Theme position in Portuguese and in English.
- Verb Tense: simple present, present perfect, simple past, simple future.
- Thematic structure

(ii) Parallel data source will be analyzed specifically with a view to identify tendencies in the use of strategies regarding the thematic structure. The analysis will be based on the following steps:

- Survey of the strategies used in the translation of the abstracts from Portuguese into English;
- Analysis of strategies used in preference to others;
- Study of the tendencies and regularities;
- Explanation of the occurrences which produced ineffective renderings deriving a categorization of translation errors on the basis of the strategies used.
- Analysis of Theme in translation.

1.6 Organization of this dissertation

This dissertation is organized in four chapters. Chapter 1, introductory in nature, locates the research in the interface of Translation Studies and Systemic Linguistics – particularly the textual function of language – and presents a pilot study performed as a final academic paper for the discipline of PGI – 3406 Tópicos Especiais em Tradução. It also presents the research questions and the objectives informing this research.

Chapter 2 expands the discussion of the concepts informing the study and spells out the methodological procedures for the analysis of the different data source, including the composite framework here proposed. It also presents a proposal of two other strategies found during the analysis of the data source. In the chapter there is a discussion of different perspectives and contributions to the main concepts and notions referring to the analysis of the different types of data source. The issue of thematic structure is dealt in both Brazilian Portuguese and in English, since thematic structure is realized somewhat differently in the two languages.

Chapter 3 presents the analysis of the study, both in the multilingual data source and in the parallel data source. At first, there is an analysis of multilingual data source, serving as the background against the conventions of both Brazilian Portuguese and English. Then there is the analysis of the parallel data source, following the strategies of abstract translation suggested by Baker (1995) and Johns (1992). It also presents the analysis of the two other strategies proposed by the researcher of this dissertation. It concludes with tendencies both in the multilingual and parallel data source.

Chapter 4 presents final reflections regarding the results of the study, the textual competence, and some implications for translation teaching/practice. The research questions are revisited and some conclusions are presented, then the limitation of the research and finally some further research questions are also included.

After this introduction, I will now move on to the next chapter, which will present a theoretical discussion on the topic under study.

CHAPTER 2

THEORETICAL DISCUSSION: THE COMPOSITE FRAMEWORK

> **(…) an interesting way of looking into the translation process is perhaps through an examination of the kind of decisions which translators make in handling texts.**
>
> **Hatim, 1997.**

2.1 Introductory remarks

This chapter, presenting the theoretical framework informing this study, discusses different perspectives and contributions to the main concepts and notions referring to the issue of textual competence and translation. It presents a review of the literature pertinent to the study and, as a result of the theoretical journey, it proposes a composite framework for the analysis of the multilingual and the parallel data source.

In order to do so, this discussion is divided into two subsections, namely one concentrating on aspects to be dealt with in the multilingual data source (subsection 2.2) and another concentrating on aspects to be dealt with in the analysis of the parallel data source (subsection 2.3).

2.2 On the concepts informing the analysis of the multilingual data source

This subsection deals with the notion of thematic structure and the issue of word order in English and in Brazilian Portuguese. This discussion is relevant since thematic structure seems to be realized somewhat differently in the two languages. Baker (1992) warns of the dangers of concentrating on the analysis of textual structures in English and extrapolating from this to other languages. She also advises the translator to be aware of thematic structure, looking at the clause at the level of discourse.

Thematic structure, both in English and in Brazilian Portuguese, is dealt with separately, in 2.2.1 and 2.2.2, respectively.

2.2.1 Thematic structure in English

I would like to start with a simple but significant illustration of the role of word order in English. In this example, a segment of the dialogues in the American movie "***The Empire Strikes Back***", 1983, directed by George Lucas, a very special word order is used to mark off the character Yoda as having a sophisticated, wise and brilliant mind. For a better visualization, the image of the segment is scanned and transcribed below:

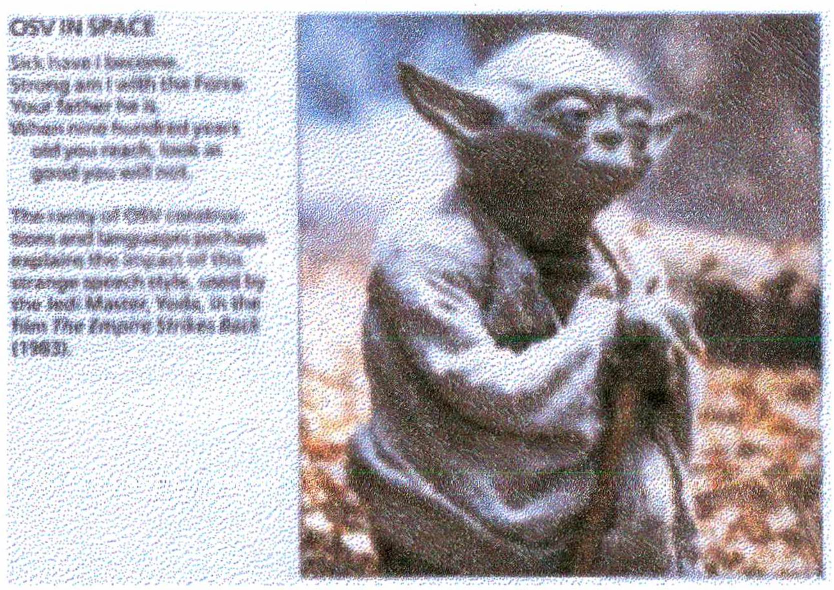

Figure 1.1: Transcription of *Yoda's* image and speech, from Crystal (1997:98)

The segments selected for illustration are:

Sick have I become.
Strong am I with the Force.
Your father he is.
When nine hundred years old you reach, look as good you will not.

Table 2.1: Segments for the illustration of marked Theme

Some aspects in this quote merit attention. If the word order were more 'natural' in terms of frequency and everyday use of language, it would read something like:

I have become sick
I am strong with the Force.
He is your father
When you reach nine hundred years old, you will not look as good.

Table 2.2: Natural word order of the segments used by Yoda

Here, the clauses are transformed from what is known as a *marked structure* into what is known as an *unmarked structure* (see 2.2.1.1), which would be considered grammatically acceptable according to the typical structure of English, that is, *S*ubject-*V*erb-*O*bject (SVO).

Crystal (1997:98) makes the following comments on this sequence:

> The rarity of OSV constructions and languages perhaps explains the impact of this strange speech style, used by the Jedi Master, Yoda, in the film *The Empire Strikes Back* (1983).

This means that the handling of thematic structure is a very important resource used to distinguish the character from the others. In Yoda's discourse, the elements in initial position – 'sick', 'strong', your father' – determine the point of departure of the message, which, had the structure been unmarked (or 'natural'), would not have come to the fore. As the reader can see, this simple illustration suffices to demonstrate the effect of thematic structure upon communication and language interchange.

After these introductory remarks, I am now in a position to move on to the different theoretical contributions related to the topic.

In the context of the discussion of the thematic structure within the language pair English-German, Ventura (1995) discusses the typical thematic structure, concentrating on the conventions of the academic text and exploring Theme position in original and translated texts, aligned in a parallel fashion. The author points out the effects deriving from shifting the utterance points of departure, arguing for the translator's awareness as regards thematic structure: "if the translators are not trained to pay attention to textual patterns, such as Theme-Rheme, their work is half-way" (*ibid.*:99). The aspects which can be abstracted from her discussion can well be adapted to the study of the specific conventions of the writing of abstracts. In this sense, the relevance of her findings for the present study is that choices in translation clearly create *somewhat different meanings*. Depending on the choices, readers are forced to focus on different things, sometimes changing the whole meaning of the clause.

In the same vein, M. L. Vasconcellos (1997) explores the tension between maintenance of the thematic structure of the source text (ST) and keeping the syntactic structure in the target text (TT) and the (im)possibility of producing translations faithful to the overall discourse structure of the original. She argues that "recognition of the marked organization of the clause as a message might turn out to be a useful tool for translators (*ibib.*:174). Vasconcellos (*ibid.)* points out that, in the case of the language pair English-Portuguese, it is difficult for translators to follow the thematic organization of the source text on a consistent basis due to the features of syntactic structure of the target language. However, marked structures should be preserved when and wherever possible, because, she believes, marked structures are never random, they are chosen for specific communicative purposes, as the illustration of Yoda's speech above demonstrates.

Dourado (1997) explores how clauses are organized in the light of Theme-Rheme perspectives, and how the thematic line in the story "Uma história bem curta", by Hemingway, translated by Bellei into Brazilian Portuguese, is built up and how the Theme-Rheme structure reflects the author's/ translator's concerns. According to her, thematic structure is "the means by which the textual macro function is realized and it accounts for the organization of the clause as a message" (*ibid.*:227). Dourado (*ibid.*) reinforces the point that the conflation of Theme with the syntactic category Subject is referred to as unmarked Theme in declarative clauses, and "subjects tend to come first in declarative clauses unless there is a motivated reason for placing any other element in front position" (*ibid.*:227). When the fronting of elements other than the Subject occurs, the Theme becomes marked. According to her, translators "should be aware of the notion of markedness to avoid the dislocating effect on a text of changing the thematic structure which might be suggestive of different motivations [...] and might render completely different flavors" (*ibid.*:227).

Munday (1998) works with the Spanish – English language pair. The problem he notices in his study is similar to Vasconcellos's (1997): thematic structure seems to be realized differently in different languages, in this case English and Spanish, the most remarkable differences being that "object pronouns and (specially) verb forms are more prominent in Theme position in the Spanish ST, while subject pronouns are far more prominent in the English TT" (*ibid.*:196). These discrepancies are caused by systemic differences between the two languages, which produces different thematic patterns. In this study, Munday (*ibid*) gives special attention to the translation of circumstantial adjuncts and to how Spanish VS order is translated.

M. Vasconcellos (1991) also works with the issue of Theme in Translation. She claims that the initial position of the Theme in the source text (ST) is relevant for both the structure of the discourse as a whole and for the structure of the message units and thus "must be kept in translation" ("deve ser mantido na tradução") (p. 110). She equates faithfulness of a translated text with maintenance of the structure of ST, claiming that it is necessary to overcome syntactic and lexical constraints so as to produce a faithful and complete rendering.

According to Quirk et al. (1972:945), the system of Theme is concerned with the organization of information within individual clauses and, through this, with the organization of the larger text. In a line similar to Baker's ideas (*ibid.*:121), they state that one way of explaining the "interactional organization of sentences is to suggest that a clause consists of two segments. The first segment is called Theme, the second is called Rheme". Theme is what the clause is about and it has two functions: (a) it acts as a point of orientation by connecting back to previous stretches of discourse maintaining the coherence, (b) it acts as a point of departure by connecting forward and contributing to the development of later stretches. Quirk et al. (*ibid*:945) state that "Theme is the initial element of a clause and it is the most important part of a clause from the point of view of its presentation of a message in sequence". Rheme, that is, what is said about the Theme is the goal of the discourse. The Rheme fulfills the communicative purpose of the utterance, that is, it represents the information the speaker wants to convey to the hearer.

In the same vein, Martin et al. (1997:21) say that "Theme is the local context or point of departure and the rest of the message of the clause that is presented against the background of this local context is called Rheme". Thus, the clause as a message is organized into 'Theme+Rheme'.

In order to have an in-depth understanding of Theme, the next section will deal with the topic of marked and unmarked Theme.

2.2.1.1 Marked and unmarked structures

According to Baker (1992: 129), an area in which the notions of Theme and Rheme have proved useful relates to the notion of *marked* and *unmarked* structures. The notion of *markedness* has to do with thematic choice. In this sense, she says:

> This particular aspect of thematic organization is of special relevance in translation because understanding it can help to heighten our awareness of meaningful choices made by speakers and writers in the course of communication.

Baker (*ibid.*) points out that the choice of the initial element is always meaningful because it indicates the speaker's/writer's point of departure. But, she says, some choices are more meaningful than others because they are more marked than others: "the more obligatory an element is, the less marked it will be and the weaker will be its meaning" (*ibid.*:129).

The understanding of the notion of markedness is closely linked to (i) the obligatory nature of structures of the language, and (ii) the frequency of use by speakers/writers of that language. In the first sense, Baker (*ibid.*: 130) points out:

> In English, it has been shown that an unmarked Theme is one that signals the mood of the clause: in declarative clauses the unmarked Theme is the subject; in interrogative clauses it is the *wh*-word, or the auxiliary in the case of polar questions; in imperative clauses it is the verb.

Thus one can say that subject as Theme in a declarative clause is *not* marked because this is the position it normally occupies in English declarative clauses. Martin et. al. (*ibid.*: 24) make a similar point when they say that "if the first element of a declarative clause is also the subject of the clause, then the Theme choice is a neutral or 'unmarked one', which gives the Theme no special prominence". One can also say then that, as the predicator hardly ever occurs in Theme position in English declarative clauses, when it does, it is highly marked. As Baker (*ibid.*: 131) points out, "the same cannot be said about languages in which the predicator frequently comes at the beginning of the clause [as with Portuguese] and therefore represents an unmarked – or at least less marked – thematic choice."

In the second sense, "the degree of markedness involved will depend on the frequency with which the element in question generally occurs in Theme position and the extent to which it is normally mobile within the clause" (Baker, *ibid.*:130). That is, marked choices are those which are selected *when* the context motivates the selection of options other than those normally expected.

The most important thing to say about a marked Theme is that its selection foregrounds a particular element as the topic of the clause or its point of departure. (Baker, *ibid.*). And this point should be taken into account in translation.

2.2.1.2 Voice: active and passive

Voice is a grammatical category which defines the relationship between a verb and its subject. According to Quirk et. al (*ibid.*:801), this is a category which makes it possible to view the action of a sentence in two ways, without any change in the facts reported: either in passive form or in active form. Although the structure of a sentence changes under voice transformation, its meaning remains the same. Quirk et al. (*ibid.*801) point out that "the active – passive relation involves two grammatical levels: verb phrase and the clause." In the verb phrase, the passive verb phrase is in contrast with the active verb phrase. The difference between the two voice categories is that in the passive form the auxiliary verb form *to be* is added and plus the past participle of the main verb. At the clause level, the active subject becomes the passive agent, the active object becomes the passive subject, and the preposition *by* is introduced before the agent.

According to Baker (*ibid.*:102), in the active voice, the subject is the agent responsible for performing the action, while in the passive voice, the subject is the affected entity. The agent may or may not be specified.

Lock (1996) states that clauses in which the 'Actor' (performer) maps onto the subject are known as *active voice clauses*. When the 'Goal' is mapped onto the subject and the 'Actor' either appears in an Adjunct as the Object the clause is known as *passive voice clauses*. The selection of passive voice may be motivated by "the need to thematize a goal or other participants that would be mapped onto the subject in an active clause, without producing a marked Theme" (*ibid.*:242).

2.2.1.3 Person

The category of person relates to the notion of participant role. Pronouns, as Quirk et al.(*ibid.*) point out, share several characteristics, most of which are absent from nouns. As their names imply, they replace nouns, or rather whole noun phrases, since they "cannot generally occur with determiners such as the definite article or premodification" (p. 203).

The most common distinction in relation to person is that between first person, that is, identifying the speaker 'I', and a group which includes the speaker 'WE' (Baker, 1995:95). The personal pronoun WE, in English, does not always denote 'more than 'I' but 'I plus one or more others' (Quirk et. al., 1972:205). In English two types are found, namely, i*nclusive We* and e*xclusive We*, depending on whether the addressee is included or excluded. Exclusive WE is also called *Editorial We*. Quirk at al. (*ibid.*) find the equation We = I obsolete and old-fashioned.

2.2.1.4 Verb tense

According to Quirk et. al (*ibid.*:84), "English has two tenses: the present tense and the past tense". As the names imply, the present tense normally refers to present time and past tense to past time. The present tense is used where "there is no limitation on the extension of the state through the present into the past and future actions" (Quirk et. al., *ibid*:85).

Regarding the past tense, Quirk et al. (*ibid.*) point out that the basic meaning of the simple past tense is to denote definite past time, what took place at a given time or in a given period before the present moment.

In the context of the study of abstracts, Johns (*ibid.*) says that verbs are "either indicative – that is, they refer to what is stated in the paper, or informative – that is, they refer to what was done in the research reported on the paper" (p. 15). In English abstracts, the indicative/informative distinction "correlates with choice of tense, the present usually being used for indicative statements, and the past for informative statements" (*ibid.*:16).

After having discussed and analyzed the issue of word order and thematic structure in English, I will now turn to the issue of word order and thematic structure in Brazilian Portuguese.

2.2.2 Thematic Structure in Brazilian Portuguese

As in 2.2.1, this subsection will also start with an illustration of thematic structure, now in the context of Brazilian Portuguese. Although the two examples differ in terms of the mode explored (spoken language in the *Empire Strikes Back* and written language in the segment from a piece of literature in the present example), both refer to the speech of outstanding characters.

In the present example, an excerpt is presented from *A Hora e a Vez de Augusto Matraga,* a short story by Guimarães Rosa (1967). Here the marked language is used to characterize the protagonist, Augusto Matraga. His speech is strongly marked. A selection of his discourse is presented below:

"P'ra o céu eu vou, nem que seja a porrete!" (p. 344) "Adeus, minha gente, que aqui é que não mais fico, ..." (p. 358) "Aonde o jegue quiser me levar, nós vamos, porque estamos indo é com Deus!" (p. 362)

Table 2.3: Transcription of segments of Augusto Matraga's speech

It is interesting to note that in the examples above the typical (A)SV is replaced with a more marked structure. The immediate effect of doing that is changing the point of departure of the utterance, that is, the topic which the rest of the sentence will be about. The same comments made in relation to the example in English apply here: word-order is never random and always bring specific clause elements to the fore, thus performing a communicative function.

From this example, I am now in a position to explore, in a more systematic and theoretical way, the notion of thematic structure in Brazilian Portuguese.

Pontes (1987) deals with the construction of topic, or as she names it CT, in Brazilian Portuguese. Quoting Li and Thompson (1976), she states that languages would be divided into four types: (a) languages with prominence of subject, (b) languages with prominence of topic, (c) languages with prominence of both subject and topic, and (d) languages without prominence of subject or topic. She says that Brazilian Portuguese used to be considered a language with prominence of subject; however, her study led her to the conclusion that Brazilian Portuguese is predominantly a language with prominence of both topic and subject.

She argues that the semantic interpretation of the topic depends on the context of the speech or on the pragmatic context. It seems clear that the Brazilian Portuguese language is predominantly SV. However, the order of VS is kept in some cases, mostly in marked sentences. The function of VS is linked to the introduction of new elements.

Koch and Travaglia (1995) argue that the topic of a sentence, which is a semantic pragmatic concept, has to do with the informational structure of the text, that is, the position of Theme in the sentence. Quoting Charolles (1978), the authors say that coherence and textual linearity are closely related, that is, it is not possible to question the coherence of a text without taking into account the order of the elements which constitute the text. The authors also state that there are texts that seem to have a tendency to present more cohesive elements and others that tend to present less cohesive elements. Thus, scientific and academic texts tend to be more cohesive than most poetic texts.

2.2.2.1 Marked and unmarked structures

As mentioned in 2.2.1, Martin et. al. *(ibid.)* say that if, in English, the first element of a clause is also its subject, the Theme is unmarked. On the other hand, if the first element of a clause is not the subject of the clause, then the Theme will be marked. This rule can also be applied to the Brazilian Portuguese language. As seen in the examples taken from Guimarães Rosa (1972) '*A hora e a vez de Augusto Matraga*' (see 2.2.1), the first elements of the sentence were marked, that is, there is no conflation of Theme and subject.

Infante (2000) calls marked Theme "Inversão". He states that when an inversion of the normal order of the sentence occurs, the term displaced from its *normal* (my italics) position receives a very strong emphasis. He also declares that inversion is not a privilege of literary language, also occurring in the everyday use of language[1],. Because it is not a privilege of literary language, it is possible to identify it in scientific and academic language as well, which is the case of this study.

2.2.2.2 Voice: active, be-passive, se-passive

The study of voice is a very important issue, since the option for an active or passive construction implies differences that a reader or a writer cannot leave unnoticed (Infante, 2000). This author also says that the subject is the term that agrees with the verb; agent is the one(s) who practices the action expressed by the verb. If the subject is also the agent, then the sentence is in active voice.

In relation to voice in Brazilian Portuguese, Lima (1972) defines it as the point that indicates if the verbal action is produced or received by the subject[2]. Differently from English, that has two types of voice (active and passive), Brazilian Portuguese has three types of voice: (i) active, (ii) passive, and (iii) reflexive. Johns (1992) calls the reflexive 'se-passive'.

According to Sacconi (1994), in active voice, the subject is the agent, because he/she is the practitioner of the action. In passive voice, the subject is the patient, because it is the receiver of the action. In reflexive voice the subject is the agent and the patient, because he/she is at the same time the practitioner and the receiver of the action.

In this study, type (iii), 'reflexive' passive voice or 'se-passive', is significant in the sense that this construction is very frequent in Brazilian 'resumos' and can cause problems in their translation into English

[1] "A inversão não é privilégio da linguagem literária, ocorrendo no uso cotidiano da linguagem" (p. 357).

2.2.2.3 Person

Neves (2000) points out that the personal pronoun has a phoric nature, that is, it is an element which has a categorical feature the capacity of making personal reference[3]. The first person plural, in Brazilian Portuguese 'Nós', is used to mark the indetermination of the subject. This indetermination, however, is not total, since in *nós*, at least one reference is determined, because it is always including the category *eu*.

According to Cunha (1972), in order to avoid the imposing or very personal pitch, writers and lecturers employ *nós* instead of *eu*. In doing so, they try to give an impression that the ideas they are exposing are shared by readers and listeners. This use of first person plural replacing the first person singular, in Brazilian Portuguese, is called *Plural de Modéstia*, (Cunha, *ibid.*) which in English corresponds to the Editorial WE. The use of Editorial We in BP is mostly found in scientific texts.

2.2.2.4 Verb tense

According to De André (1990), tenses situate the time or the moment in which an event is verified. Cunha (1972) states that there are three verb tenses in BP, which are: present, past and future that imply, respectively, an event that occurred at the moment in which one speaks, before the moment one speaks, and after the moment one speaks.

In his study, Johns *(ibid.)* says that, like in English, in BP verbs are either indicative or informative, and this indicative/informative distinction correlates with the choice of tense in abstracts. Indicative sentences employ the simple present, and informative sentences employ the simple past.

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[2] "O acidente que indica se a ação verbal é recebida ou produzida pelo sujeito" (p. 107).

2.3 On the concepts informing the analysis of the Parallel data source

This subsection of the study will deal with the analysis of thematic structure in the parallel data source in both Brazilian Portuguese and English. It will focus on word order in the translated version texts and the strategies used by translators in order to minimize linear dislocation, taking into account the syntactic structure of the linguistic system of the target language The aim is to analyze if the resulting structures are non-grammatical clauses, and also which solutions reveal abandonment of the thematic structure of the source text. As the term 'strategy' is used in the analysis, a discussion of the concept of 'strategy' in TS becomes necessary.

2.3.1 The concept of Strategy

In very general terms, a strategy can be defined as a conscious plan for solving a problem. The concept is, however, seen differently in different theoretical spaces even within a same field. This is the case in Translation Studies. The present sub-section will discuss briefly the concept of strategy in TS from (i) a politically oriented perspective; (ii) a psycho-linguistically oriented perspective; and, finally, (iii) from a textually oriented perspective. After this discussion, a concept of strategy will be defined which is in accordance with the textual investigations carried out by Johns (.1992.) and Baker (1995) and which is related to the object of this study – the investigation of translations of Brazilian Portuguese "resumos" into English abstracts focusing on the attempt, on the part of translators, to minimize linear dislocation within the clause.

A politically oriented approach to TS would view the concept of strategy in the general sense of strategies of translation involving "the basic tasks of choosing the foreign text to be translated and developing a method to translate it" (Venuti, in Baker (Ed.) 2000,

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[3] "Ële é um elemento que tem como traço categorial a capacidade de fazer referência pessoal" (p. 449).

p. 240-244), both of these tasks being determined by cultural, economic and political factors. When discussing the many different strategies that have emerged since antiquity, Venuti (*ibid.*) groups them into two large categories:

> A translation project may conform to values currently dominating the target-language culture, taking a conservative and openly assimilationist approach to the foreign text, appropriating it to support domestic canons, publishing trends, political alignments. Alternatively, a translation project may resist and aim to revise the dominant by drawing on the marginal, restoring foreign texts excluded by domestic canons, recovering residual values such as archaic texts and translation methods, and cultivating emergent ones (for example, new cultural forms).

Venuti refers to the former, which, in the handling of the foreign text, deliberately *transforms linguistic and cultural differences into domestic patterns*, as a project informed by *domesticating strategies*; he refers to the latter, which, in the handling of the foreign text, deliberately "*preserves linguistic and cultural differences by deviating from prevailing domestic values*" (*ibid.*) as a project informed by *foreignizing strategies*. Such strategies generally serve political agendas. While domesticating strategies tend to translate the *cultural other* out of the translated text (thus *erasing* the foreign presence), foreignizing strategies tend to translate the *cultural differences* into the translated text (thus making the translated text a site where the *otherness* is not erased but *manifested*). An important fact about this distinction is that "what is domestic or foreign can be defined only with reference to the (...) values in the *target* language culture (italics added)' (*ibid.*: 243). In other words, it is the translating culture which establishes the translation strategy to be adopted, in response to economic, cultural and political agendas informing their attitude to the foreign. As an exhaustive discussion of the concept in this context is not within the scope of this study, the reader who is interested in having further information on the topic is advised to read Venuti (1995) for a deeper account.

In the context of Translation Studies (TS) dominated by the psycholinguistic paradigm, Lörscher (1991: 68) points out that

> the notion of 'strategy' originated in military science and denotes the comprehensive preparatory planning of a war including all essential military as well as non-military factors. In a metaphorical sense, the notion of strategy is used in various disciplines, such as economics, psychology, and political science;

Transposing the original sense attributed to the concept of strategy to TS, Lörscher (*ibid.*: 76) defines a translation strategy as "potentially *conscious procedure* for the *solution of a problem* which an individual is faced with when translating a text segment from one language into another" (italics mine). Lörscher (*ibid.*) himself recognizes elements of *problem-orientedness*, *potential-consciousness*, and *goal-orientedness* as defining criteria of a translation strategy, which are in tune of the general terms of the definition of a strategy, that is, a *conscious plan* for *solving a problem*. In other words, a strategy can then be said to emerge as soon as the translation cannot be carried out automatically. Breaking down the concept into more detailed sub-categorizations, Krings (1986: 267) distinguishes five main sets of strategies involved in the handling of translation problems; (i) comprehension strategies; (ii) retrieval strategies; (iii) monitoring strategies; (iv) reduction strategies; (v) decision-making strategies. Along similar lines and suggesting a more detailed framework, Gerloff (1986: 253-4) proposes eight categories for the study of translation strategies: (i) problem identification; (ii) linguistic analysis; (iii) storage and retrieval; (iv) general search and selection; (v) inferencing and reasoning; (vi) text contextualization; (vii) editing; and, finally (viii) extra textual strategies.

In a different context but still in the framework of the cognitivist approach to TS emerging in the mid-1980s and in connection with the idea of a *plan* and the idea of a *problem*, Kiraly (1990) defines translation strategies as "... plans that can be implemented to solve problems." This definition, appearing in his PhD work (*ibid.*:149), proposes a systematic approach to translation skills *instructions*. Later (see *A Social Constructivist Approach to Translator Education – Empowerment from Theory and Practice*), in a

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In the context of Translation Studies (TS) dominated by the textual paradigm, it is assumed that "(...) an interesting way of looking into the translation process is perhaps through an examination of the kind of decisions which translators make in handling texts" (Hatim, 1997: 1). In this sense, Hatim (*ibid.*) points out that

> ... a careful consideration of what actually happens to a given text when someone attempts to mediate in communicating its 'import' across both linguistic and cultural boundaries (...) [and] to bring entire systems of mother-tongue linguistic as well as rhetorical conventions to bear on the act of textual transfer and to match them with those of another language, which is precisely what happens in a process such as that of translating, can only be illuminating and rewarding.

Within the textual paradigm it is then *the textual decisions* made by the translator and detected in the analysis of the *resulting TT* which are understood as *strategies*, though the term is not explicitly used in most of the writings devoted to the discussion of aspects of "doing things with texts" within linguistic and textual boundaries, that is in the *discourse processing framework*. Hatim (*ibid.*), for example, offers a useful glossary at the end of his *Communication across Cultures* in which the term *strategy* is not included as an entry.

In his study, Johns (*ibid.*) does not bother to define the term strategy and uses it in a straightforward manner, implying *unconscious tentative procedures* – very much along the lines suggested by Kiraly's intuitions – to tackle the problem of translating a conventional text type ("resumos" of academic work) from Brazilian Portuguese into English, many times in unconscious attempts to avoid linear dislocation.

However, for the sake of academic rigor, I felt the need to propose a working definition of the concept of strategy, which I present below:

> **A textual translation strategy is defined as a (conscious or unconscious) textual attempt, as manifested in the translated text, to deal with thematic structure and to minimize linear dislocation within the clause, across the language pair English/Portuguese.**

What stands out as the basic difference between the concept of strategy as understood from the cognitivist perspective and the perspective informing this study is the inclusion of a degree of *intuition* (along the lines suggested by Kiraly (*ibid.*) and mentioned above) informing the translator's *feel* in relation to the thematic structure of the source text. In this sense, my working definition involves *not* only those conscious decisions on the part of the translator *but also* a general sense of the need to maintain the same thematic structure. In fact, an investigation of the level of *consciousness* in the process would lead us towards the realm of the cognitivist approach, which is outside the scope of this research.

Having this distinction been made, I now move on to a discussion of the academic abstract as a genre so as to relate the conventional rhetorical features of this specific piece of writing to the issue of the textual strategies used in the translations investigated.

2.3.2 The concept of the Academic Abstract as a genre[4]

According to Santos (1996), the communication of research findings plays an essential role in the research process itself. This communication can take place through a number of channels (p. 482), which can be the presentation of papers at conferences and through publication. Day (1988:5), quoted by Santos (*ibid.)*, declares that " a scientific paper is not designed to be read. It is designed to be published". Swales (1990:7), in Santos (*ibid.*) says, "publication can be seen as documentary evidence that the writer qualifies for membership in the target discourse community". In an attempt to define the structure of abstract, Santos (*ibid.*) concludes that abstract writing is a genre typical of academic discourse especially designed to project the research to the public eye and it also offers a relevant contribution to the academic debate. His research, however, being top-down oriented, fell short of providing micro-structural considerations, crucial for the hands-on activity of translating.

From a bottom-up perspective, Johns (1991; 1992) points out the fact that, many times, abstracts of scientific works published in English in international magazines are problematic for international readers. In his research, the author examined the linguistic features in abstracts published in an international context written in Portuguese and translated into English, and how these features facilitated or interfered in communication. Emphasis was given to the problem of syntax and discourse. His work offers a theoretical interest to give light on a typological difference between Portuguese and English and on the academic abstract as a distinct genre. It also sheds light on the processes that may be at work in the development of the foreign language-user's 'interlanguage'. According to

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[4] Although a theoretical discussion of the concept of *genre* is out of the scope of this study, it is important to define, in very broad terms, the basic premises involved in the definition of textual genre. To this end, I draw on Meurer (2002: 18): textual genre, that is, a specific type of text, from any nature, literary or not, written and oral, characterized and recognized by a specific function and rhetorical organization quite typical and by the context(s) where it is used "(...) gênero textual, isto é, [qualquer] tipo específico de texto, de qualquer

Johns (*ibid.*), the term interlanguage can be defined as the language which the learner produces using processes of learning that differ from the mother tongue and the target language. Interlanguage refers to a transitional stage in learning a foreign language. He then proposes a set of five interlanguage strategies in order to study the behavior of the writers of abstracts in constructing an equivalent text in English.

In the same vein, Baker (1995) discusses the topic of word order as a textual strategy rather than a grammatical feature and she explores a number of ways in which its role in controlling information flow can be explained. She also questions whether the tension between word order and communicative function is a problem in translation. According to her, in languages with relatively free word order there will be less tension between the requirements of syntax and those of communicative function. In languages with relatively fixed word order there will be more instances of tension between syntax and communicative function. She, then, proposes a set of three strategies, which attempts to minimize the tension mentioned above.

Both Johns' and Baker's strategies inform the construction of a composite framework designed specifically for their study and presented in 2.4 below.

2.4 Strategies used to deal with the issue of thematic structure

Baker (1995) and Johns (1992) suggested some strategies in order to resolve the above mentioned tension between functions when translating an abstract. The table below shows seven strategies derived from the study of *translational behavior* in abstracts in Baker's (*ibid.*) and Johns' (*ibid.*) research.

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natureza, literário ou não, oral ou escrito, caracterizado e reconhecido por função específica e organização retórica mais ou menos típica, e pelo(s) contextos(s) onde é utilizado).

Strategy	Name	Device
01	**(A)VS structure in English**	**Production of an (A)VS structure in English**
02	**Pro-form insertion**	**Insertion of pro-forms IT/THEY before the verb**
03	**Acceptance of linear dislocation**	**(A) +V+S Portuguese structure into (A) +S+V English structure**
04	**Voice change**	**Changing from passive to active voice**
05	**Nominalization**	**Replacing a verbal form with a nominal one**
06	**Change A into S**	**Changing Adjunct into Subject**
07	**Verb change**	**Changing the verb for another that has a similar meaning**

Table 2.4: Composite framework for the analysis of abstracts inspired by Baker and Johns

In brief, each strategy will be explained as follows. It is also important to note that the extracts taken to exemplify the strategies were copied exactly as they were in the journals.

Strategy 01 – (A)VS structure in English: According to Johns (1992:22), this strategy implies the use of a sentence initial passive verb. The writers of abstracts see this strategy too obviously un-English to be acceptable. One alternative explanation for the use of this strategy can be found in the tendency for initial adjuncts to be associated with fronted verbs in written Portuguese. The example below was not taken from the abstracts under analysis, since this strategy was not found in the abstracts under analysis:

> Na seqüência **analisa-se** a relação entre os valores calculados e o valor agregado.
> In the sequence **is analyzed** the relation between the evaluate value and the negotiated value.

Strategy 02 – Pro-form insertion: Insertion of "IT" before the verb, attempting to minimize linear dislocation while trying to produce an acceptable and grammatical clause in English. According to Johns (p. 25), this is an error and the motivation for this error lies in an attempt to avoid linear dislocation of the elements as presented in the Portuguese text while preserving the basic SV order of English. The error cannot be accounted for on the basis of any rule of Portuguese, the source of the error is probably the overgeneralization of the English rule which requires insertion of a pro-form before the verb. Example of strategy 2 in the corpus under analysis:

É praticamente impossível evitar temas como redesenho de processos
It is almost impossible to avoid subjects (B26)

Strategy 03 – Acceptance of linear dislocation: Converting the (A)VS structure of Portuguese into the 'normal' (A)SV structure of English, and accept whatever linear dislocation results from that conversion. The use of this strategy gives a perfectly acceptable English text. Example of acceptance of linear dislocation in the data under study:

São necessárias modificações profundas no processo de gestão...
Serious modifications in the process of organizational management **are necessary** ... (B1)

Strategy 04 – Voice change: Changing the syntactic form of the verb to achieve a different sequence of elements. Johns suggests that this strategy is both available and employed by translators, and it is the substitution of Active to Passive. However, according to him, this strategy brings with it the problem of "what subject to apply for the active clause, and in particular whether the impersonality of the passive should be preserved" (p. 28). The following extract shows this strategy:

O artigo **tem a preocupação** de discutir a complementaridade
The article **is worried** about discussing the complementary (B9)

Strategy 05 – Nominalisation: Replacing a verbal form for a nominal one. This strategy is an attempt to preserve the Subject – Verb structure of English. It is a sophisticated strategy in the sense that it involves the choice of a suitable verb for the sequence in English. The good point about it is that it improves the translation while offering a way of presenting the information from a perspective similar to that of the Portuguese text. Example of strategy 5 in the corpus under analysis:

O ensino a distância **vem revolucionando** o sistema de aprendizado
Distance Learning approach **has been causing a revolution (B4)**

Strategy 06 – Change A into S: Changing the fronted Adjunct into a fronted Subject in an attempt to keep linear arrangement on the elements of the clause. The potential difficulty in this strategy is to arrange a new word order with the correct verb forms. The following example shows the use of this strategy:

Neste texto é apresentado um resumo da pesquisa ...
This paper presents a summary of the research ... (B35)

Strategy 07 – Verb change: Changing the verb and replacing it with one that has a similar meaning but can be used in a different syntactic configuration. This strategy is hard to use as each language has its own phraseology, its own idiom which rules out many options that are potentially available as grammatical sequences. According to Baker (*ibid.*), examples of verbs that describe an event from different perspectives in English include *like/please.*

Debate também o recolhimento do Imposto de Renda e do IPVA
It also **discuss** the charging of some taxes as the income tax and the IPVA (B6)

The categories suggested by Baker (*ibid.*) and Johns (*ibid.*) presented above were not sufficient to cover the occurrences in the data source under analysis. For this reason, I suggest the following expansion of the categories explaining *translational behavior*:

Strategy	Name	Device
01	**(A)VS structure in English**	**Production of an (A)VS structure in English**
02	**Pro-form insertion**	**Insertion of pro-forms IT/THEY before the verb**
03	**Acceptance of linear dislocation**	**(A) +V+S Portuguese structure into (A) +S+V English structure**
04	**Voice change**	**Changing from passive to active voice**
05	**Nominalisation**	**Replacing a verbal form with a nominal one**
06	**Change A into S**	**Changing Adjunct into Subject**
07	**Verb change**	**Changing the verb for another that has a similar meaning**
08	**Verbalization**	**Replacing a nominal form with a verbal one**
09	**Semantic change**	**Changing the verb in such way that suttle (or not) semantic changes occur**

Table 2.5: Expansion of Composite Framework for the analysis of the parallel data source

In order to make the added strategies understood, I will provide a brief explanation for each of them and some examples will be given.

Strategy 8 – Verbalization: This strategy involves replacing a nominal form with a verbal one. It can be regarded as the counterpart of strategy number five discussed above called nominalization, which consists of the substitution of a verbal form by a nominal one. The use of this strategy, however, can lead to a change of the Theme of the sentence. In order to facilitate the understanding of the strategy, the example below shows how this strategy works:

O **objetivo** principal do trabalho é identificar e...
This paper **aims** to discuss quality management in six Brazilian ... (B27)

Strategy 9 – Semantic change: This strategy involves replacing a verb with another which has a different meaning, in such a way that semantic changes occur, sometimes distorting the meaning of the sentence. The use of this strategy will change the thematic structure of the translated sentence. The example below, taken from the parallel data source under analysis, shows this strategy:

> As tendências de interacionalização da exploração **obrigam** as empresas a adotarem técnicas padronizadas de avaliação e comparação de prospectos visando à redução de risco.
> The trends of internationalization of exploration and risk reducing **recommend** the use of standardized techniques of evaluation and comparison of plays and prospects. (B29)

These nine strategies will inform the discussion to be carried out in Chapter 3, more specifically, they will be the background against which the microstructure analysis in 3.1.2.1 is done, concerning the parallel corpus. As for the other contributions discussed here, those aspects on thematic structure, marked and unmarked Theme, the issue of voice and person will inform the analysis of the Multilingual Corpus.

Armed with these theoretical concepts, I will do a critical reading of the data source of my research into the translation of abstracts from Brazilian Portuguese into English, in the context of Business Administration.

CHAPTER 3

DESCRIPTION AND ANALYSIS OF OCCURRENCES

A translator should be aware not only of cognitive meanings and basic syntactic structures *in his text*, but also of its *information* dynamics.
Enkvist,1978:180

3.1 Introductory Remarks

This chapter presents the description and analysis of abstracts both in Brazilian Portuguese and in English, distributed in two different kinds of corpora – multilingual and parallel – with a view to understanding the structure of such written texts produced both in their home environments and in translated form.

For the purpose of a top-down procedure, the discussion will start with the multilingual data source since the description of texts originally written in Portuguese and English will serve as the background against which the translated texts in the parallel data source will be analyzed.

It is worth reminding the reader that the translations of the specific parallel data source in this study have been interrogated in the spirit of both resistance to gross generalization and resistance to criticism to particular translators. Besides this, it is not my intention to criticize particular strategies. The aim is to understand the workings of the translation of abstracts in one specific context, that is, the Business Administration field.

3.2 Multilingual data source

The analysis of the multilingual data source for the English version will be done based on (i) five abstracts extracted from the *Journal of Business,* (ii) four abstracts extracted from *The Administrative Science Quarterly*, (iii) five abstracts taken from the *Journal of World Business*, and (iv) four abstracts extracted from *Public Administration – an International Quarterly.* All these journals were published in the year 1999.

For the Brazilian Portuguese version, I will be using five abstracts from (i) *Revista de Ciências da Administração*, (ii) four abstracts from *Revista de Administração de Empresas*, (iii) five abstracts from *Revista de Administração – USP* – and (iv) four abstracts from *Revista de Adminstração – UFRGS*. All these issues were published in the year 1999.

3.2.1 Macrostructure Analysis: The textual point of view

My analysis will start with the macrolevel structure of the multilingual data source, since it will serve as the background for the analysis of translated texts. The linguistic feature on which this analysis concentrates is that of word order. I will be working, particularly, with Theme position in 'resumos' written in Brazilian Portuguese and in English abstracts, exploring three basic aspects: (i) the notion of thematic structure as a device in text organization and development, (ii) the notion of marked and unmarked Theme, and (iii) the development and organization of a text. Halliday (1995) will provide the basic theoretical framework for both languages. The findings of Santos (1996) and Baker (1995) will also be drawn upon in this part of the study because they provide a good insight into the matter.

Laviosa's (1998) and Colina's (1998) contributions will be relevant for the English version analysis. Contributions from M. Vasconcellos (1992), M. L. Vasconcellos (1995) and Pontes (1987) will be an important reference for the analysis of the Brazilian Portuguese texts. As for the grammatical study of the language pair involved, Quirk et al. (1972), Martin et al. (1997) and Lock (1996) will be the reference for the English version, while Cegalla (2000), Sacconi (1994), Cunha (1972), and Pasquale and Ulisses (1999) will provide information on Brazilian Portuguese. At the syntactic level, special attention will be given to the translation of VS structures into English.

3.2.1.1 Word order as a textual strategy: Theme in Brazilian Portuguese and in English

As explained in Chapter 2, Theme is the point of departure of a clause as a message. It is the local context of a clause as a piece of text, and its position is initial. Rheme, on the other hand, is positioned where the presentation moves after the point of departure. It comes following initial position. It should also be (re)stated that as Baker (1992:125) reminds us "Theme and Rheme are not grammatical notions: they belong in the realm of textual notions and thus should be treated in terms of *acceptability* rather than *grammaticality.*

The following examples, from the multilingual data source (see Appendix A1 to 18), show the 'Theme+Rheme' structure. It is worth to remember that Theme and Rheme are identified by the typical position they occupy in the clause, that is, the Theme is identified in initial position and the Rheme in the following position:

(01) **Prior empirical work** shows that different markets are characterized ... (A5)
Theme **Rheme**

(02) **The study of Swedish workers** investigates gender wage inequality ... (A6)
Theme **Rheme**

In (01), 'Prior empirical work' is the Theme of the clause and "shows that different markets are characterized" is the Rheme. In (02), "The study of Swedish workers" is the Theme of the clause, while "investigates gender wage inequality" is the Rheme.

In Brazilian Portuguese, the same applies. This means that the Theme is placed in initial position and the Rheme is placed in the position following the Theme. The examples below were taken from the Brazilian Portuguese multilingual data source and, like the English version, show Theme in initial position, and Rheme coming following the Theme:

(03) **Este artigo** objetiva solucionar algumas das dúvidas ... (A13)
Theme **Rheme**

(04) **As marcas** emergem progressivamente como uma dimensão ... (A17)
Theme **Rheme**

In (03), "Este artigo" is the Theme of the clause and "objetiva solucionar algumas das dúvidas" is the Rheme. The same applies to (04), where "As marcas" is the Theme of the clause, while "emergem progressivamente como uma dimensão" is the Rheme. Taking this analysis into account, it is possible to state that, in relation to Theme and Rheme, both languages, Brazilian Portuguese and English, follow the same rules. In sum, position in the clause is the identifying factor both of Theme and Rheme.

The Theme can be of two types: marked and unmarked Theme. The next sub-section will deal with the notion of markedness as found in the data source.

3.2.1.2. Marked and unmarked Theme

As discussed in Chapter 2, the Theme can be either marked or unmarked. It is worthwhile to remember the reader what marked and unmarked Theme is. If the first element of a clause is also its subject, then the Theme will be unmarked. If the first element of a clause is not its subject, then the Theme will be marked. In English, an unmarked Theme is one that signals the mood of the clause. In declarative clauses in English, which is the case in the abstracts under study, the unmarked Theme is conflated with the subject. Paraphrasing Baker (1995), when the Theme of a declarative clause is not the subject, it gains a greater textual prominence. In this sense non subject themes are called 'marked Themes' and play an important role in structuring the larger discourse, in this specific case abstracts. Both marked and unmarked Themes were found in the corpus under analysis, as demonstrated in the table below:

Theme	English	Brazilian Portuguese
Unmarked	58	29
Marked	21	34

Table 3.1: Figures of marked and unmarked Theme

The figures above show that there is a major tendency in English towards the use of unmarked Theme, that is, the subject in initial position. An unmarked Theme was used 58 times in the English version, showing the preference of abstract writers in using a more direct way when communicating their research. The following examples taken from the abstracts in English illustrate this tendency:

(05) **Earnings** provide important information for investment decisions. (A1)
Unmarked Theme/Subject

(06) **Prior empirical work** shows that different markets are ... (A5)
Unmarked Theme/Subject

In Brazilian Portuguese the same does not apply: an unmarked Theme conflates with subject 29 times, as the figures show. The extracts below show examples of unmarked Theme in the Brazilian Portuguese 'resumos':

(07) **Este artigo** caracteriza a participação como uma das possibilidades ... (A11)
Unmarked Theme/Subject

(08) **As marcas** emergem progressivamente... (A17)
Unmarked Theme/Subject

As table 02 above shows, marked Theme was found 21 times in English abstracts, more than once in some abstracts (see Appendix A). The following examples are from the English version of multilingual data source and present 'marked Themes'.

(09) **In sum,** despite the publicity of the boycott and the multitude ... (A2)
Marked Theme

(10) **<u>According to our model</u>**, chief executive officer selection is both ... (A9)
Marked Theme

In (09), 'in sum' is the transition element signaling the closure of an agreement. In (10), 'according to our model' is a restrictive element signaling the dimension in which the Rheme belongs.

In Brazilian Portuguese abstracts, marked Theme was found 34 times. As can be seen from the figures, marked Theme seems to be the tendency. Examples of marked Theme in BP:

(11) **<u>Para acompanhar as mudanças na forma de administrar empresas,</u>** o contador
Marked Theme (A14)

(12) **<u>Ao longo das últimas décadas,</u>** a formação das estratégias ... (A10)
Marked Theme

In (11), 'para acompanhar as mudanças na forma de administrar empresas' is an element indicating purpose. In (12), 'ao longo das últimas décadas' is an element which indicates temporal dimension.

Markedness has to do with thematic choice, and some choices are more meaningful than others. That is, the choice to put an element other than the subject in initial position (markedness) is significant in the sense that it calls the reader's attention to the dimension taken prominently in the specific piece of discourse The analysis of these marked choices will be carried out in the next section, where the issue of text organization and development will be explored.

3.2.1.3 Text organization and development

In relation to text organization and development, it is worthwhile to remind the reader of Baker's (1995:126) words:

> The selection of an individual Theme of a given clause in a given text is not in itself particularly significant. But the overall choice and ordering of Themes, particularly those of independent clauses, plays an important part in organizing a text and in providing a point of orientation for a given stretch of language.

What Baker is saying is that significance derives from thematic development in the whole text. In other words, the emphasis stemming from the selection of a Theme in a particular clause has to be seen against the background of the overall choice and position of Themes in the whole text. All Theme selections will set the scene of the whole text.

The different Theme configurations show different sorts of emphasis in the different texts. Sometimes, initial position is occupied by a Theme denoting the context of the research; at other times, the initial position is followed by a pronoun; still at others, the context of the research is accompanied by a pronoun, personalizing the study done. Table 02 displays this information:

Theme	English	Brazilian Portuguese
a- Context plus pronoun	06	00
b- Pronominal forms	04	00
c- Context itself	08	18

Table 3.2: Organizations and developments of the texts.

As the figures show, regarding the development of text in the English version, six out of the eighteen English abstracts under analysis were found to present the context of the study – (a) according to table 02 - proposed in the article in initial position. Then a pronoun was used in order to identify who was carrying out the research. An example of this kind of development can be seen below:

> (13) **Earnings** provide important information for investment decisions. Thus executives – who are monitored by investors, directors, customers, and suppliers – acting in self-interest and at times for shareholders, have strong incentives to manage earnings. **We** introduce behavioral thresholds for earnings management. (A1)

In this specific example, the Theme 'earnings' establishes the context of the research, that is, everything to be said in the study is to be considered in this environment. As for the use of a pronoun WE (in this case, Inclusive We), the aim is to identify the people involved in the research. Concerning the BP version, as the figures show, - (a) according to table 02 - this strategy was not found.

Regarding the use of the pronominal forms I and WE, - (b) according to table 02 - 4 abstracts in the English version were found to present these two forms initially. From these figures, it might be hypothesized that the authors of the abstracts wanted to show the audience who performed the study and was responsible for the findings, showing their inclusion in the work (see 3.2.2.3). The segments below present this development in the English version:

> (14) **We** study the most important legislative and shareholder boycott to date, the boycott of South Africa's apartheid regime, and find that corporate involvement with South Africa was so small ... (A2)

> (15) **I** investigate whether 'analysts' recommendations in 'Dartboard' column of the Wall Street Journal have an impact on stock prices and ... (A4)

In (14), the pronominal form 'we' is not an 'Editorial we' (see 2.2.1.3). In other words, the writer of the abstract was included in the research, together with the participation of another individual. In (15), the use of 'I' implies that the writer of the abstract performed the research.

This development strategy was not found in the BP abstracts, since pronominal forms present a certain degree of personality, and thus are not typically used in this text type. From this, it can be hypothesized that, at least in relation to the data source under study, Brazilian academics prefer to use the resource of impersonality. To clarify this point two examples are given below:

(16) **Este artigo** analisa algumas das mudanças que vêm ocorrendo ... (A15)

(17) **A pesquisa** analisa a crise do Estado Nacional no contexto ... (A18)

In relation to the use of context itself, that is, without mentioning the authorship of the study, - (c) according to table 02 - this structure was found in 8 abstracts in the English version. The following examples show this development strategy:

(18) **This paper** tests predictions from institutional and rational perspectives about the adoption of organizational practices through a comparative study... (A8)

(19) **This is an analysis** of the causes of the late 1997 economic crises in the (until then) strong Asian economies... (A12)

On the other hand, 18 out of the 18 abstracts in the BP version showed this structure, implying a high degree of impersonality. It may be tempting to say that Brazilian abstract writers, in the field of Business Administration, prefer not to be included in the research and in the findings. One example of this structure in the Brazilian Portuguese language is:

(20) **Neste texto é apresentado** um resumo de pesquisa sobre empreendedores e proprietários-gerentes. (A28)

Taking the analysis above into account, I can say that there is evidence of an enormous tendency towards the use of the context of the research in Brazilian abstracts, where there is a mark of impersonality.

In summary, thematic structure is found to play an important role in setting the scene for the context of the clause and, consequently, the text. Also, different developments were found in the abstracts under analysis in both languages. It is now worthwhile to look at the microstructure of the abstracts in order to figure out how micro level structure is in both languages.

3.2.2 Microstructure Analysis: the lower levels of language

For the analysis of the micro level structure of the abstracts I will take into account four syntactic aspects: (i) (A)VS structure in Portuguese vs (A)SV structure in English; (ii) use of voice: active, be-passive and se-passive; (iii) person; and (iv) verb tense.

My analysis will be based on the studies done by Baker (1995) and Johns (1992). References to Laviosa's (1998) and Colina's (1998) studies will also be of a great relevance. For the analysis of the Brazilian Portuguese microlevel structure I will also use Cegalla (2000), Sacconi (1994), Cunha (1972), and Pasquale and Ulisses (1999).

3.2.2.1 (A)VS structure in Portuguese vs. A(SV) structure in English

According to Baker (1992:178), "languages are usually classified according to their normal ordering of clause elements". Thus the most typical clause structure both in English and in Brazilian Portuguese is SVO, allows for adjunct (A) in initial position. However, BP also allows the structure (A) VS, which is not typically found in English. In other words, BP allows fronting of the predicative (V) as elliptical pronominal forms are mostly the case, since inflections of the verb form indicate the category 'person'.

The (A)SV structure in English was found to occur in all abstracts under analysis, that is, 18 out of the 18 abstracts in the English version presented this structure. The obvious explanation for this fact is that this form is the one used in English, and the English structure does not accept the (A)VSO structure. Examples of the (A)SVO structure in the English abstracts:

(21) Earnings provide important information for investment decisions. (A1)
S V O

(22) This study of Swedish workers investigates gender wage inequality, ... (A6)
S V O

(23) I document a significant 2-day announcement effect that...S (A4)
S V O

Abstracts written in BP also present the structure (A)SVO as seen in the examples below:

(24) A pesquisa analisa a crise do Estado Nacional no contexto da ordem ... (A27)
S V O

(25) Este estudo relata a busca de novos modelos de sistemas de informação... (A35)
S V O

In addition, they also present the (A)VSO structure since this structure is allowed in BP. As a result, many clauses have a 'fronted verb', to use Johns' expression in his 1992 paper. He refers to subjects in this non-initial position as non-fronted. From now on this terminology is adopted in this research.

According to Johns (*ibid.*) and Baker (*ibid.*), fronted subjects in general carry a low degree of Communicative Dynamism[5]. The wide use of fronted verbs in BP abstracts shows that there is a tendency towards the use of fronted verbs which carry a high degree of CD. As can be seen in the following example, using a fronted verb and a non-fronted subject is a very common procedure:

(26) Perante a multiplicidade de conceitos e modelos de avaliação, são contrastadas e
A **V**
sintetizadas as abordagens acadêmicas e empresariais dominantes. (A17)
S

(27) Adicionalmente, tornam-se necessários o desenvolvimento e a articulação de um
A **V** **S**
vocabulário comum. (A17)

According to Johns (*ibid.*:10), one important fact that seems to affect the decision whether or not to front the verb is "the presence or absence of an initial adjunct". Quoting Cunha (1976), Johns (*ibid.*:15) points out that "the presence of such an adjunct is one of the features that favor the placing of the verb before the subject in Portuguese". The (A)VSO structure was found 24 times in the BP under analysis. More specifically, in the abstracts taken from *Revista de Ciências da Administração (UFSC)*, the A(VS) structure was found 4 times. In *Revista de Administração de Empresas (RAE)*, the structure was found once. In *Revista de Administração da USP*, the structure mentioned was found 10 times. In *Revista Eletrônica de Administração (UFRGS)* it occurred 9 times. But there are cases in which the analyst might think of a fronted verb without a subject, neither in fronting nor in non-fronting position, as in example (28) below where the subject is elided.

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[5] Communicative Dynamism or CD is used here in the sense defined by Firbas, quoted by Baker (1995) , that is the element which pushes the communication forward, since linguistic communication is not static, but a dynamic phenomenon. It is a property of communication, displayed in the course of the development of the information to be conveyed and consisting in advancing this development. It is the element which contributes to the development of the communication (Johns, 1992)

(28) Propõe que as empresas aspirantes a um "modelo atualizante" ... (A11)
V **O**

This is an "elliptical subject", which can be easily retrieved from the inflection of the verb form. This element is to occur in initial position, due to the distance between the subject and the verb form.

In the next section I will focus on the issue of voice, and the analysis of its implications in the corpus under study.

3.2.2.2 Use of voice: active, "*be*"-passive and "*se*"- passive

In relation to voice, in the multilingual data source, the active voice was found in all abstracts in English, in preference to the passive voice. However, the same does not apply to BP. The following table shows the figures found in the multilingual data source. It presents how many times voice was found in the abstracts.

Voice	English	Brazilian Portuguese
Active	64	32
"Be"-Passive	25	20
"Se"-Passive	00	22

Table 3.3: Voice in English and in Brazilian Portuguese.

In English the active voice is more commonly used, in preference to the Passive Voice. In the present data source, the active voice was found 64 times, while the passive voice was found only 25 times. The use of active voice might imply that English abstracts are written in a more direct way. An illustration of the active voice in English abstracts can be seen in the following examples:

(29) **Earnings provide** important information for investment decisions.(A1)
Active voice

(30) **Results show** that gender-differentiated access to organizational power ...(A6)
Active voice

The active voice was found 32 times in the BP abstracts, while passive voice was found 42 times. Differently from English, abstract writers in BP prefer to give information in a more indirect way.

Concerning the passive, it can be hypothesized that the use of the passive might be deliberately designed to create a specific effect upon the reader: that of an impersonality, neutrality and scientificism. This is in tune with Baker's (*ibid.*106) remarks as to the main function of the passive in English: to avoid specifying the agent and to give an impression of objectivity.

According to the figures above, the "Be"-Passive was found 25 times in the English journals selected for this study. The "Se"-Passive was not found since this structure does not exist in English, that is the reason why we can only find "Be"-Passives in English. The "Se" Passive is a case that exists in Portuguese, and according to the figures is largely used by abstract writers. The examples from the journals illustrate this point:

(31) **Constata-se** que referida abordagem se enraiza em um novo ... (A10)

(32) **Elaboraram-se** propostas, recomendando soluções a curto prazo ... (A12)

Fronted passives carry a higher degree of CD, while non-fronted passives carry a lower degree of CD. In other words, fronted passives tend to push the communication forward. From the table below, it is possible to see how often fronted and non-fronted passives were used in English and BP:

	FRONTED		NON-FRONTED		TOTAL	
	Em	B.P.	En	B.P.	Em	B.P.
Be-passive	00	06	25	14	25	20
Se-Passive	00	15	00	07	00	22
TOTAL	00	21	25	26	25	42

Table 3.4: Fronted and non-fronted passive verbs.

As expected, not a single "Se"-Passive was found in English, for obvious reasons, neither fronted nor non-fronted. However, the "Se"-Passive in BP is highly used, mostly in initial position. On the other hand, the "Be"-Passive is used in both languages. In English, the "Be"-Passive was found as non-fronted, since the language structure does not allow for fronted passives. In BP, the "Be"-Passive is found both fronted and non-fronted.

3.2.2.3 Person

As discussed in the previous section (see 3.2.1.3), the use of a person in abstracts is a commoner procedure in the English than in Brazilian Portuguese. In BP, none of the abstracts employed a person, suggesting a high degree of impersonality. In no case was there an instance of elliptical pronoun, as the reader might be led to think. On the other hand, in the English abstracts, the use of a pronoun was easily found. It should be pointed out that more flexible word order and frequent absence of subject pronouns in BP hinder a linguistic comparison between English and BP, since many of the shifts in translation are due to systemic differences between the languages rather than to conscious decisions on the part of the translator.

Regarding the so-called 'Editorial WE', according to Quirk et al (1972), this form now considered formal and somewhat old-fashioned, is used instead of the first person singular "I", felt to be too self-assertive. Editorial WE, "is not applied to the fully justified use of WE with the reference to the consensus of an editorial board or other collective body" (Quirk et al., *ibid.*:208). This special use of the first person plural pronoun is referred to, in BP, as 'Plural de Modéstia' (Cunha,1972).

The Editorial WE, or as called by others, such as Martin et al. (1997), Exclusive WE was not found in the English abstracts under study. On the other hand, Inclusive WE, that is, suggesting the inclusion of more than one author in the abstract (Quirk et al., *ibid.*), was found in 6 instances. Examples of Inclusive WE in English abstracts are given below:

(33) **We** introduce behavioral thresholds for earning management. (A1)
Inclusive We

(34) **We** study the most important legislative and shareholder boycott... (A2)
Inclusive We

(35) **We** develop a conceptual model ...
We apply the model ...
Furthermore, **we** find evidence of ... (A9)
Inclusive We

In (35), Inclusive WE was found 3 times in the same abstract, which might be seen as a desire to emphasize plural authorship. Sometimes, single authorship is highlighted, as in the two examples below, using the first person singular pronoun 'I':

(36) **I** investigate whether 'analysts' recommendations in the "Dartboard" ...
My study supports the price pressure hypothesis ... (A4)

(37) **I** consider a duopolistic market where ... (A5)

Nine out of the eighteen English abstracts did not mark for person. This fact creates the impression that it is not the author of the article or the author of the abstract who presents results, it is 'the study' or 'the paper' which carries out the investigation. This device adds to the appearance of impersonality and scientificism (Quirk et al, *ibid*) which can be seen in the illustrations below:

(38) **This study of Swedish workers** investigates gender wage inequality... **Theoretical arguments** focus on managers' propensity ...(A6)

(39) **This paper** tests predictions from institutional and rational perspectives... Distinguishing between ... **the paper** predicts differences in adoption ... (A8)

One of the abstracts makes reference to plural authorship not in terms of an Inclusive We, but by means of the possessive pronoun 'OUR', showing this inclusiveness. To be able to prove that the example below presents Inclusive We, I went to the authorship of the article in order to identify the authors and I found that there were two authors. Thus, I can say that the following example presents Inclusive We.

(40) **Our** theoretical framework suggests how board interlock ... (A7)

In the BP abstracts, the use of person was not found. All of them presented an impersonal tone, implying the neutrality and objectivity typically expected in scientific writings. Impersonality is highly present in the BP abstracts, as can be seen below:

(41) **Este artigo** caracteriza a participação como uma das possibilidades ... (A11)

(42) **O objetivo deste artigo** foi investigar o grau de satisfação ... (A12)

Having discussed 'Person', I now move on to the examination of verb tenses, as used in 'resumos' and 'abstracts'.

3.2.2.4 Verb Tense: simple present, present perfect, simple past, simple future.

In the English abstracts, the preferred verb tense was found to be the simple present. In 16 out of the 18 abstracts this tense was used. The presentness in tense choice may be interpreted "in terms of generality" (Johns, 1992:16). This generality is at the case of the simple present tense, which is used in indicative statements, while the simple past tense is used for informative statements. According to Swales (1990)`academic abstracts employ the simple past tense in the presentation of the methodology and data investigated which are informative statements. An example of this use is:

(43) Four sets of reforms of the National Health Service **are** employed to ... (A17)
Simple Present

(44) Executives of tem large banks in three Central European transition economies **were interviewed** (A11)
Simple Past

Another tense found in the abstracts under analysis was the present perfect tense. Which indicates a period of time stretching backwards into some earlier time (Quirk et al., *ibid.*) This tense was found once in abstract A15 (see Appendix A).The simple future was not found, since the aim of the abstract is not to present future research. An example of present perfect tense can be seen below:

(45) Since their introduction in 1984 Challenge funds **have been widely adopted** (A15)
Present Perfect Tense

Regarding the BP abstracts, the simple present tense was found in 16 out of the 18 abstracts since this verb tense is used to express a real and true fact (Sacconi, 1994). Johns (*ibid*:16) states that in BP abstracts the indicative/informative distinction "correlates with choice of tense, the present being used for indicative statements, and the past for informative statements. Examples of the use of simple present tense in BP abstracts:

(46) O artigo **apresenta**, de forma suscinta, ... (A19)

(47) Este artigo **analisa** algumas ... (A24)

The simple past tense was found in 2 abstracts in BP. This might lead us to think that the intention of the writers was to present finished actions. Examples of the use of simple past tense in BP abstracts can be seen below:

(48) O objetivo deste artigo **foi analisar** o grau de satisfação ... (A23)

(49) Como metodologia, **utilizou-se** a comparação (A30)

The examples above are the only extracts taken from the abstracts that used the simple past tense. In (48) the simple past 'foi analisar' was used, going against to what Johns (*ibid.*) declared about declarative statements. In example (49) the simple past 'utilizou-se' was used to refer to what methodology was used in the research reported in the paper.

After concluding the analysis of multilingual data source, which will serve as the background for the analysis of the parallel data source, I will then work on the analysis of the abstracts translated from Brazilian Portuguese into English.

3.3 Parallel data source

The analysis of the parallel data source will be done based on (i) 18 abstracts taken from *Revista de Ciências da Administração*, edited by UFSC, (ii) 16 abstracts taken from *Revista de Administração de Empresas – RAE*, edited by Fundação Getúlio Vargas, and (iii) 19 abstracts taken from *Revista de Administração*, by USP. All issues were published in the year 1999. In this section I will analyze both the microstructure and the macrostructure of the abstracts. I will base my analysis on Johns (1991,1992) and Baker (1995), who suggested strategies of abstract translation in order to avoid linear dislocation in the thematic structure of the clause. For the analysis I will consider the following: (i) A(VS) structure in English; (ii) Pro-form insertion; (iii) Acceptance of linear dislocation; (iv) Active for passive; (v) Nominalisation; (vi) Adjunct into subject; and (vii) Change of verb. In order to facilitate the analysis, I will refer to the Brazilian Portuguese abstracts as SA, which means 'Source Abstract' and to the English translated abstracts as TA, that is, Translated Abstract.

3.3.1 A (VS) structure in English

According to Johns (*ibid.*), when the (A)VS structure (typical of BP) is used in the abstracts translated into English, it shows an attempt, on the part of the translator, to avoid linear dislocation and keep the thematic structure of ST. This is too obviously un-English to be acceptable. That is probably the reason why this strategy is hardly found. In my study this strategy was found twice, both in the issues published by USP. The use of this strategy yields ungrammatical sentences and, in this sense, are considered an 'error', as can be seen below:

(48) SA⇒**Este trabalho é proposto** um Modelo de Gestão do Sistema de Planejamento, Programação e Controle de Produção (PPCP) ...
TA⇒**In this article is proposed** a model of manufacturing, planning, scheduling and control management system. (B39)

The subject 'Este trabalho' was translated into 'In this article'. The problem lies in the fronted verb form which in BP is 'é proposto' and in the English version becomes 'is proposed'. The problem in this sentence is the absence of a subject in the English rendition. The clause was translated exactly as it was in BP, generating a grammatically wrong sentence. It is worth to say that both versions are grammatically wrong. The explanation for this type of error can be found in the tendency for initial adjuncts to be associated with fronted verbs in written Portuguese.

Next sub-section will deal with the issue of avoiding linear dislocation by the insertion of the pronoun form 'It'.

3.3.2 Pro-form insertion

The pro-form insertion strategy is, as the name suggests, the insertion of pro-form IT before the verb in an attempt to minimize linear dislocations while trying to produce an acceptable and grammatical clause in English. The same happens with the insertion of the plural pronoun THEY. This leads to an "empty anaphora", using Johns' words (1992), that is, it is impossible for the reader to retrieve the referent. The use of pro-form insertion IT is an overgeneralization of a rule of English, that is, every sentence must contain a subject. According to Johns (1992), the use of this strategy is an error and the motivation for this error lies in an attempt to avoid linear dislocation of the elements as presented in the Portuguese text, while at the same time, trying to preserve the basic SV (subject + verb) order of English. Johns (*ibid*:25) also states that "the error cannot be accounted for directly on the basis of any rule of Portuguese". This strategy was found in only one abstract in *Revista de Ciências da Administração*. The use of this strategy can be seen below in the example taken from the data source:

(49) SA⇒**No Portuguese version.**
TA⇒**It** was also included **a case study ...** (B7)

In (49), there is not a Brazilian Portuguese version. However, an English version was added generating a Pro-form insertion 'It'. The error was found in the addition, not in the translation. In order not to make this kind of error, the writer could have written "A case study was included..." to solve the problem.

3.3.3 Acceptance of linear dislocation

The third strategy proposed by the authors is called 'acceptance of linear dislocation'. This strategy consists of converting the (Adjunct) – Verb – Subject structure of Portuguese into (Adjunct) – Subject – Verb structure of English and "accept whatever linear dislocation results from that convention" (Johns, *ibid.*:29). According to this author, this is the strategy that is "likely to be favored by formal language teaching" (*ibid.*29) because it gives a perfect English text. In this case, the thematic organization of the ST is abandoned in favor of adhering to word-order principles operating in the TL. This strategy was found 12 times in *Revista de Ciências da Administração* (UFSC), 8 times in *Revista de Administração de Empresas* (FGV), and 18 times in *Revista de Administração.*(USP). In some abstracts the strategy was used more than once:

(50) SA⇒Posteriormente, **é mapeado o setor estudado** e **apresentada a organização do trabalho e da produção nas empresas deste ramo de negócios.**
TA⇒Afterwards **the sector is analyzed** and **the work and production of this kind of business is presented.** (B7)

(51) SA⇒Especificamente, **são investigadas** as compras públicas de alimentos por meio ...
TA⇒Public purchase of food **is investigated** under ... (B36)

The process of producing a translation from the Brazilian Portuguese version in (50),'é mapeado o setor estudado' into the English version 'the sector is analyzed', led to a correct English structure. Also in (51) the form 'são investigadas as compras públicas' was translated into 'public purchase of food is investigated'. However, in (50) there is a semantic problem since 'mapeado' does not have the same meaning as 'analyzed'. According to the Oxford Dictionary (1995), to map means 'to project or to make a map of an area' while to analyze means 'to examine the nature or structure of something, especially by separating it into its parts'. The purpose of the article, stated by the abstract, is really to map out the sector, instead of only doing an analysis of it. It is out of the scope of this section of the research to deal with semantic, but it is always worth calling attention to this kind of problem.

3.3.4 Active for Passive

The fourth strategy, which is called Active for Passive by Johns (*ibid.*) and Voice Change by Baker (*ibid.*), involves changing the syntactic form of the verb from Active to Passive. This strategy is available and employed by the translators of abstracts; although it brings the problem of what subject to supply for the active form and also if the impersonality of the passive is preserved. Active into passive was not found in *Revista de Ciências da Administração* (UFSC), neither in *Revista de Administração* (FGV), but it was found twice in *Revista de Administração de Empresas* (USP)

On the other hand, Passive into Active was found 18 times in *Revista de Ciências da Aministração* (UFSC), twice in *Revista de Administração* (FGV) and 4 times in *Revista de Administração* (USP). This fact leads to the conclusion that translators of business administration abstracts tend to use passive into active voice strategy instead of active into passive. The following examples show the use of this strategy when the abstract was translated:

(52) SA⇒Assim, algumas tipologias mais estudadas no empreendedorismo são apresentadas e o autor **propõe** uma tipologia de proprietários-gerentes de pequenos negócios.
TA⇒Some of the most commonly studied typologies in entrepreneurship are introduced, and a typology of small business owner-managers **is proposed** by the author in an appendix. (B35)

(53) SA⇒A partir dessa consideração, **propõe-se** nove requisitos, desdobrados em itens, como componentes do modelo.
TA⇒Regarding this assumption, the author **proposes** nine requirements and some items as the components of the model.

In (52) the active verb 'propõe' was translated as 'is proposed' satisfying the condition of impersonality proposed by the abstract. On the other hand, in (53) the "Se"-passive form 'propõe-se was translated into 'proposes', that is, the condition of impersonality was not kept and, consequently, thematic structure was changed. Changing voice then proved to be a widely used strategy.

3.3.5 Nominalisation

Nominalisation is a strategy which involves replacing a verbal form for a nominal one. This strategy is an attempt to avoid linear dislocation and keep the thematic structure of the ST. It is a sophisticated strategy in the sense that it involves the choice of a suitable verb for the sequence in English. The good point about it is that it improves the translation while offering a way of presenting the information from a perspective similar to that of the Portuguese text. The following extract shows this strategy.

(54) SA⇒O ensino a distância **vem revolucionando** o sistema de aprendizado nas universidades e nas empresas do país.
TA⇒Distance Learning approach has been causing **a revolution** in the learning systems in universities and also in enterprises throughout country. (B4)

In (54), the verbal structure 'vem revolucionando' was replaced by 'has been causing a revolution'. The verbal form 'revolucionando' was translated into the nominal form 'revolution'. This strategy was found in 8 out of 53 abstracts. In brief, in *Revista de Ciências da Administração* (UFSC), the strategy was found twice. In *Revista de Administração de Empresas (FGV)* it was found three times. In *Revista de Administração*

(USP) it was found three times. This strategy is available but it was underemployed in my study, corroborating to Johns' findings.

3.3.6 Adjunct into Subject

Strategy number six, named change Adjunct into Subject consists of changing a fronted Adjunct into a fronted Subject. This leads to a potential difficulty which is to arrange word order with the correct verb forms. This strategy was not found in issues published by UFSC, neither in the issues published by FGV. However, it was found 10 times in the abstracts published by USP. The fact that it is underrepresented in two journals under study, emphasizes the need to draw the translator's attention to it. An example of this strategy taken from the corpus:

> (55)SA⇒**Neste texto** é apresentado um resumo de pesquisa sobre empreendedores e proprietários-gerentes.
> TA⇒**This text** presents a summary of the research on entrepreneurs and owner-managers. (B35)

In (55), the adjunct 'Neste texto' was translated into 'This text' in an attempt to keep the linear arrangement of the elements of the clause. In order to keep this arrangement, the passive form 'é apresentado' had to be translated as the English active form 'presents', reinforcing the use of passive into active voice strategy.

3.3.7 Change of verb form

Change of verb form involves changing the verb and replacing it with one that has a similar meaning but can be used in a different syntactic configuration. This strategy is hard to use as each language has its own phraseology, its own idiom which rules out many options that are potentially available as grammatical sequences. According to Baker (1995) examples of verbs that describe an event from different perspectives in English include *like/please*, but others can be employed. An example of that can be seen in the following extract:

(56) SA⇒Este artigo objetiva **solucionar algumas das dúvidas** mais freqüentes referente ao ensino a distância bem como relatar alguns fatores que tornaram o LED uma instituição de excelência na área de educação.
TA⇒This paper aims **to propose some answers** concerning Distance Learning/Education as well as to report some factors which made the LED on excellence institution in the Distance Education field. (B4)

In example (56), the Portuguese form 'solucionar algumas dúvidas' translated into 'propose some answers' seems 'natural' as far as the phraseology of English is concerned. Its acceptability is determined by the context in which it occurs. The change of verb signals a change of perspective, in the sense that while the Portuguese version 'objetiva solucionar dúvidas', that is, aims to solve doubts, the English rendering 'proposes answers', which is certainly going a step further.

3.4 Expansion of the Strategies

After concluding the analysis of the strategies proposed by Baker (*ibid.*) and Johns (*ibid.*) I felt the need to include two new strategies which emerged during my investigation. The reason for this inclusion lies in the fact that the two strategies proposed here were widely used. Since they were found several times I decided to include them in my study.

3.4.1 Verbalization

As the name suggests, this strategy consists in replacing a nominal form by a verbal one. It can be regarded as opposite to strategy number five discussed above, nominalization, which consists in the replacement of a verbal form by a nominal one. It was found 15 times, showing that it was largely used in the abstracts under analysis. In *Revista de Ciências da Administração* (UFSC), the strategy was found twice. In *Revista de*

Administração de Empresas (FGV), it was found 4 times. In *Revista de Administração* (USP), it was found 9 times. Examples of this strategy can be seen below:

(57) SA⇒O **objetivo** principal do trabalho é identificar e discutir o estado atual da gestão da qualidade em empresas participantes de seis cadeias ...
AT⇒This paper **aims** to discuss quality management in six Brazilian agrifood chains ... (B27)

(58) SA⇒É feito, também, um **balanço** da contribuição das universidades públicas ao desenvolvimento tecnológico industrial, ...
TA⇒The article also **balances** the contribution of the public universities with industrial technological development, ... (B47)

In (57), the nominal form 'objetivo' was translated into the verbal form 'aims'. Also, in (58), the nominal form 'balanço' was translated into the verbal form 'balances'. The use of this strategy leads to a change of Theme (see 3.2.1.1 in this chapter). If this strategy is employed the focus of the clause will change, generating a new sentence with a new Theme.

3.4.2 Semantic Change

This strategy consists in changing a verb in such way that semantic changes occur, sometimes distorting the meaning of the sentence. This strategy was found 22 times. In *Revista de Ciências da Administração* (UFSC), the strategy was found 10 times. In *Revista de Administração de Empresas* (FGV), it was found 5 times. In *Revista de Administração* (USP), it was found 7 times. The fact that it is significantly employed in the journals emphasizes the need to call the translator's attention, mostly because not only changes the meaning of the clause, but distorts what the ST meant. The following examples taken from the corpus under analysis exemplify this strategy:

(59) SA⇒Constata-se que referida abordagem **se enraíza** em um novo paradigma da vida humana individual e associada e que, para os autores a ela ...

TA⇒It is observed that this approach **emerged** from a new paradigm of individual and collective human life, ... (B1)

(60) SA⇒As tendências de interacionalização da exploração **obrigam** as empresas a adotarem técnicas padronizadas de avaliação e comparação de prospectos visando à redução de risco.

TA⇒The trends of internationalization of exploration and risk reducing **recommend** the use of standardized techniques of evaluation and comparison of plays and prospects. (B29)

In (59), the Brazilian Portuguese verb form 'se enraíza' which means 'has its roots, or base" (Michaellis Bilingual Dictionary), does not have the same meaning as 'emerged' which means to rise out, to appear' (Oxford Advanced Learner's Dictionary). The Brazilian Portuguese sentence says that the quoted approaches have their roots or their base in a new paradigm related to individual and collective human life, while the English version says that the quoted approach appeared from the new paradigm. They have different meanings, generating a semantic error.

In (60) the Brazilian Portuguese verb form 'obrigam' means, according to Michaellis Bilingual Dictionary, to oblige, to force or require somebody by law, agreement or moral pressure to do something. The English verb form 'recommend' means, according to the Oxford Advanced Learner's Dictionary, to suggest a course of action, to advise something. The two verb forms have a completely different meaning since the Brazilian Portuguese sentence implies that companies must do something and in the English version companies should do something.

As the figures above show, this strategy is broadly employed. This leads to a serious semantic problem in the translation, because the Brazilian Portuguese version states something and the English version declares something else.

3.5 General tendencies observed in this study

Some facts can be stated in relation to the specific study carried out, particularly as regards the frequency and nature of the strategies used. Tendencies observed in the data sources are discussed next. This section will be divided in two sub-sections, that is, tendencies in the multilingual data source and tendencies in the parallel data source.

3.5.1 Tendencies in the multilingual data source

Regarding the multilingual data source some regularities in the specific academic text-type were observed, as regards some specific aspects. For syntactic reasons, (A)VS structure is not allowed in English, that is the reason why only the (A)SV structure is found, at least regarding the text-type under study. On the other hand, the (A)VS was widely used in BP as well as the (A)SV.

In relation to voice, the study showed that there are two types of voice in English, that is, active and passive voice while in BP there are three types, that is, active, be-passive and se-passive. Active voice was more commonly used in preference to passive voice in English. On the other hand, in BP the use of passive was more commonly used. This fact might be explained by the fact that BP allows, besides be-passive which is also found in English, the use of se-passive and its use is very common is BP.

The use of a person in abstracts is a commoner procedure in the English than in Brazilian Portuguese. This can be proved by the fact that in BP none of the abstracts employed a person, and there was no case of elliptical pronoun. On the other hand, in the English abstracts, the use of a pronoun was found easily. Editorial We was not found in English abstracts, just Inclusive We. In BP neither Editorial We nor Inclusive We was found, since the use of a pronoun is not a common procedure at least regarding this specific academic text-type.

Regarding verb tense, in the English and in the BP abstracts, the preferred verb tense was found to be the simple present. This lies on the fact that in this specific typology the simple present tense is used in indicative statements, while the simple past tense is used for informative statements. The present perfect was used once.

A remarkable fact in this analysis is that, regarding Theme, the English tendency in using an unmarked Theme is more prominent than using a marked Theme. On the other hand, in BP the prominence of using marked Theme is higher. This might be justified by the fact that adjuncts, which are marked, are more prominent in BP than in English.

These were the tendencies observed in the analysis of multilingual data source. As stated in the Introductory Chapter, this analysis served as a background for the analysis of the parallel data source, whose tendencies are presented and discussed in the next subsection.

3.5.2 Tendencies in the parallel data source

Regarding the analysis of parallel data source, some tendencies of translation were observed in the study. After the analysis of the translation strategies aiming the analysis of thematic structure both in BP and in English, some conclusions can be drawn. Table 5 below presents a quantity configuration of the findings:

STRATEGY	UFSC	FGV	USP	TOTAL
1. (A)VS Structure in English	00	00	02	02
2. Pro-form insertion IT	01	00	00	01
3. Acceptance of linear dislocation	12	08	18	38
4. Voice change	00	02	02	04
5. Passive into Active	02	04	08	14
6. Nominalization	02	03	03	08
7. Adjunct into Subject	00	00	10	10
8. Verb change	01	00	00	01
9. Verbalization	02	04	09	15
10. Semantic change	10	05	07	22

Table 3.5: Final results of strategies

In relation to the use of the strategies by abstract translators, as the figures show, the production of (A)VS Structure in English was found only twice in the fifty-three abstracts of the language pair Brazilian Portuguese - English under analysis. It can be hypothesized that translators were aware of the syntactical structure in both languages, and that translation does not mean to transfer words and structures exactly as they are in the source language text into the target text.

Differently from what was expected by the researcher at the beginning of analysis, the strategy named 'pro-form insertion IT' was rarely used. This strategy was found in only one abstract. This might suggest that abstract translators have a good linguistic competence as regards the grammatical structure of both languages involved.

On the other hand, 'acceptance of linear dislocation' was found to be the most used strategy. It appeared 38 times in the 53 abstracts. It might be concluded that since this strategy is favored by formal English classes and it yields a correct English structure, translators opt for its use in order not to incur in grammatical and structural errors.

Concerning the strategy named 'active for passive', it can be observed that this strategy was found 4 times. However, the strategy 'passive into active' was widely used. It was found 14 times in the abstracts.. It can be inferred that some translators tried to keep the impersonality which is peculiar to this kind of genre.

'Nominalization' is a strategy which is available to translators and generates a good English structure. However, it was not used as much as expected, being found only 8 times, which suggests either the lack of more sophisticated skills or of unawareness of their possibilities or alternatives.

'Adjunct into subject' is another strategy which is underemployed. This strategy was not found in *Revista de Ciências da Administração* (UFSC). In *Revista de Administração de Empresas* (FGV) was not found either. However, it appeared 10 times in *Revista de Administração* (USP). The problem of using this strategy lies in the fact that there is a change of the Theme because the adjunct, which is marked, turns into a subject, which is unmarked. Consequently, the focus of the clause presents a change.

In relation to 'Change of verb', only once was it used in *Revista de Administração de Empresas* (FGV). In the other two journals this strategy was not found. In fact, it is not an easy strategy to use since each language has its own phraseology, its own idiom which rules out many options that are potentially available as grammatical consequence. Their acceptability is determined by the context in which they occur.

Concerning the strategies I proposed in this research, the first one, 'verbalization', was found 15 times. Its wide use shows that some attention must be given by abstract translators when translating abstracts, since the use of it leads to a correct English structure, but changes the meaning of the structure, because it deals with the thematic structure.

Regarding 'semantic change', this strategy is broadly used, as the figures above show. It might be concluded that the use of this strategy not only changes the meaning of the clause, but also changes the context in which the clause is. As a consequence, we have a different clause led by the change of the thematic structure.

One important fact that called my attention on the analysis of parallel data source, was that marked Theme, more specifically adjuncts, ate more prominent in Brazilian Portuguese ST texts. There is also a tendency that in the translation, abstract translators tend to place adjuncts as Theme position, even if this procedure is not used in the abstracts in English. In this sense, there is a tendency to abandon thematic structure of ST in favor of compliance with the syntactic rules of the target languages. These are the cases of translation of se-passive in BP and the case of the handling of circumstantial adjuncts.

This is as far as I have gone regarding the analysis of multilingual and parallel data source in abstracts written in their home environment (multilingual) and in their translation environment (parallel). Some conclusions can be drawn in relation to this study. These are discussed in 4.2 below. .In addition, those aspects which this research left undiscussed also merit some attention (see 4.4.2 below). These issues will be discussed in the next and conclusive chapter.

CHAPTER 4

FINAL REFLECTIONS

As a final word, it should be said that no research project is really ever over.
Hewson & Martin, 1991:229

This final chapter aims to (i) present some reflections as regards the results of the study carried out against the background of the research questions formulated, (ii) revisit the issue of textual competence and translation as regards the notion of translation error; (iii) discuss some implications for translation teaching and practice; and, finally, (iv) present the limitations of the research as well as suggestions for further research.

4.1 The research questions revisited

After all the study done, it is time now to go back to my research questions in order to see if they were answered or not. This point is crucial, since answering the questions will lead me to a conclusion of my dissertation.

I addressed six questions which I found to be relevant, taking into consideration the proposal of my study, which are:

RQ1 – Which strategies are employed the most in the TTs to deal with the thematic structure of the STs?
RQ2 – Is there any tendency in the use of strategies? Does a pattern emerge?
RQ3– Are the strategies effective in the production of the TTs?
RQ4– If the strategies are ineffective, what type of problems arises? Do they result in error?
RQ5– To what extent can the findings of this piece of research be generalized to translator training?

Let me now try to answer the above questions.

RQ1 and RQ2: The most commonly used strategy was 'Acceptance of linear dislocation', found 38 times in the analysis of the TTs in the parallel data source. Contrary to what Baker (1995) points out (linear dislocation minimized), the findings in the present study suggest that there is a strong tendency towards accepting any linear dislocation in the production of the TTs due to the pressure of syntax on discourse. The result is the production of grammatical structure which somehow disturbed thematic structure. The second most commonly used strategy was the one I proposed, named 'Semantic Change', which consists of changing the semantic form of the verb. This strategy was used 22 times in total, and as it was discussed, the use of it had serious and complicated implications for the TTs. These two strategies can be considered the pattern emerging from the examination of the TTs.

RQ3 and RQ4: In general, the strategies used in the production of the TTs, in this study, are effective in the sense that grammatically well-formed TTs were produced and linear dislocation did not change the meaning in any substantial way. Though appearing less frequently, the other strategies suggested by Baker (1995) and Johns (1992) proved to be effective, except for two of them: '(A)VS structure in Portuguese' and 'Pro-form insertion It', which produced not only ungrammatical clauses, but also textual problems. These two strategies, being ineffective, brought up problems related to grammar in the TL and to textual structures, resulting in 'errors' as discussed further in this chapter. Another strategy which caused problems in the TTs was the strategy named 'Semantic Change'. The use of this strategy produced a distortion of the meaning in the clause.

RQ5: The findings of this piece of research can contribute not only to my practice as a translator, but also as a translation teacher. As a practitioner, I have become more aware of (i) the differences between thematic structure in BP and in English; (ii) the role of Theme and how to deal with thematic structure in translation; and (iii) the effective use of strategies in the translations of abstracts. As a translation teacher, I can make my students sensitive to the issue of thematic structure, and also discuss those strategies which might lead to errors as a way to prevent ungrammatical and textually inadequate translations.

As a final word in this section, I would like to quote Baker's words (1992:172):

> To sum up, a translator cannot always follow the thematic organization of the original. If at all possible, s/he should make an effort to present the TT from a perspective similar to that of the ST. but certain features of syntactic structure such as restrictions on word-order, (...) and the natural phraseology of the TL, often mean that the thematic organization of the ST has to be abandoned. What matters at the end of the day is that the TT has some thematic organization of its own, that it reads naturally and smoothly (...) and that it preserves, where possible, *any special emphasis signaled by marked structures in the original* and maintains a coherent point of view as a text in its own right.

In other words, for the purposes of translation, what matters is that the translator can recognize a sequence as *marked* and then translate it into another *marked* sequence, whenever possible.

4.2 Textual competence and translation as regards the notion of translation error

For the purposes of organizing my discussion in this section, I will subdivide it into subsections, in which I will explore first the treatment given to translation errors by different theorists; then, on the basis of these views, I will describe what went wrong with the translations in my data source and why, that is, errors in the context of the textual dimension. After that, I will discuss the implications of this study for my translation teaching and practice, making some considerations as regards the impact of my study upon my professional activities.

4.2.1 The treatment of errors by different theorists

According to Kussmaul (1995), error assessment can be focused on the communicative function of the word, phrase or sentence in question. In this sense, a simple orthographic error can, in fact, change the meaning of a whole sentence, and a simple error in word meaning distorts the meaning of the entire text. The author aims to explore the various aspects of the methodology of translation, trying to explain translation in a rational way. He, then, points out the two approaches to the category of error: the typical foreign language teachers' view and the professional translator's view. The former is centered on the word or phrase as an isolated unit, and it is also centered on the student as a learner of a foreign language. This type of error does not take into serious consideration the communicative function of words and phrases within passages, texts, situations and cultures, but centers on the foreign language competence of the translator. In the second view, the notion of error focuses on the communicative function of the word, phrase or sentence in question. Distortion of meaning must be seen within the text as a whole and with regard to the translation assignment and the receptor of the translation.

There is an interesting point made by Pym (1992), who distinguishes between binary and non-binary errors. Binary errors are those choices which are clearly wrong. Binarism is the typical approach of foreign language teaching and is concerned with solutions that are either right or wrong, with rules of grammar, correct vocabulary, spelling, etc. Non-binarism is the approach of professional translation teaching and takes into account the fact that evaluation is not only a qualitative but also a quantitative concept.

Pym (1993) deals with the issue of negotiation of mistakes and errors. Confessing his own mistakes and errors, the author tries to substantiate the problem of error in translation. He, then, suggests some possible sources for translation errors, such as: mistakes due to defective source texts, mistakes due to inadequate world knowledge, mistakes avoided through reasonable doubt, solution through external authority, translation by omission, translation by confession and double translation. After discussing all these aspects, he then gives some advice on how to help translators not to incur in these kinds of errors.

Within the functionalist paradigm, Nord (1995) suggests a functionalist view of errors, that is, a particular expression or utterance does not in itself have the quality of being incorrect, but it is assigned that quality by the recipient in the light of a particular norm or standard. In this sense, she declares that "translation error is a failure to carry out any one of the translating instructions" (*ibid.*170). Nord (1997) states that for functionalism, the notion of translation error must be defined in terms of the purpose of the translation process or product. In her book, she quotes Sigrid Kupsch-Losereit (1985) who defines a translation error as an offence against the function of the translation, the coherence of the text, the text type or text form, linguistic conventions, culture and situation specific conventions and conditions, and the language system. If a translation error is defined as a failure to carry out the instructions implied in the translation brief and as an inadequate solution to a translation problem, then translation errors can be classified into four categories: (i) pragmatic translation error, (ii) cultural translation error, (iii) linguistic translation error and (iv) text-specific translation error.

From the perspective of modalities of translation, Aubert (1994) suggests that there is a distinction between errors IN translation and errors OF translation. Semantic errors, as well as orthographic and morphosyntactic errors can be considered errors IN translation. These errors are originated from lack of linguistic competence. On the other hand, errors OF translation are originated from the lack of knowledge of translational techniques.

Hatim and Mason (1997) deal with the issue of text-level errors, to be considered within a comprehensive model of discourse processing, which rests on the assumption that text users, producers and receivers alike, approach language in use "by reacting to and interacting with a number of contextual factors" (p. 165). The authors open the discussion considering what can go wrong with the way context is handled in translation and showing that errors of this kind can indeed be serious. Then they move on to analyze more specific errors that implicate particular areas of textuality. These errors are: (i) register error, (ii) semiotic error and (iii) pragmatic error. Register errors have to do with the inappropriate use of a word or a phrase within a certain cultural context. In this sense, adjustments in relation to specific settings and contexts have to be done. Semiotic errors have to do with the mishandling of discourse, text and genre, and he mishandling of sign system through different modes and context. Pragmatic errors have to do with the mishandling of choices of language used to express or interpret real intentions in particular situations in social interaction and the effects of these choices on discourse. This last perspective bears similarly with the perspective from which the concept of error is dealt with. The next sub-section explores this issue.

4.2.2 Errors in the context of the present study

In this study, the source of *variability* (here understood as error) seems to lie in the pressure of discourse on syntax. In this specific case, most of the errors result from the conscious or unconscious attempts to minimize linear dislocation in the translation of 'resumos' written in BP into abstracts in English. This is why the source of the error is said to lie in the pressure of discourse on syntax, that is, the pressure of thematic structure of the ST on the syntax of the TT. The effect of linear dislocation as a response to the requirements of syntax was observed many times in the data source analyzed.

It seems clear from the analysis that, in this case, my findings corroborate Johns' findings in the sense that the motivation for the error lies in an attempt to avoid linear dislocation of the elements as presented in the BP text, while at the same time preserving basic SVO structure in English.

I identified two kinds of errors, which will be discussed below. These errors are (i) grammatical errors, and (ii) textual errors.

4.2.2.1 Grammatical error: Different linguistic systems

These are errors generated from lack of linguistic competence. Grammatical errors, in this study, include any kind of error that goes against the English linguistic system. In abstract B4, the comparative form 'tanto no modelo gerencial quanto no pedagógico', was translated into 'from the managerial model to the pedagogic model'. The expressions generated a grammatical error since 'tanto quanto' does not have the same syntactic meaning of 'from to'. Also in B4, the absence of the indefinite article 'the' before the word country, in the sentence "... and also in enterprises throughout country" goes against the English grammar since the country is specified by the context.

In B5, there is the absence of the verb form 'is' in the sentence "... there is no idea of what or how much the value aggregated by these companies (is).", making the sentence confusing. Again about verb form, in B6 the verb was rendered as 'discuss', when it should have been 'discusses' because of the agreement with the subject of the clause 'it'.

In B18, the form 'stands for' in the sentence "With this thought, the search stands for an analysis of changes ..." should be replaced by 'look for' since there is no abbreviation for 'analysis'. In B20, the word 'skill' was misused, since the writer meant to have ability or capacity. In B23, the word 'imperative' in the sentence "Processes ... and decentralization and imperatives of international lending agencies..." was wrongly used since imperatives do not mean impositions. In B29, the word 'play' does not have any sense in the clause. The author is discussing the analysis of evaluation of prospects, he cannot compare prospects with plays. In B31, the present perfect form 'has been' cannot be used, since time expression 'in the last year' is supplied.

In B35, the order of the words "the characteristics most of the attributed to enterpreneurs" made the sentence awkward, the reader is not able to understand what the author meant with this sentence. In B38, the adverbial form 'recently' in "... however, the recently increase of basic activities..." should be written as the adjective form 'recent', since it is modifying a noun, and the idea of the clause is to state that the increase of basic activities are recent.. In B41, the word 'analyses' in "The regression analyses showed ..." is a verb form while 'analysis' is the substantive required.

In B43, there is a mishandling of the nominal groups. The sentence "... most interesting tools which allows company value increase analysis" is confusing, since the reader is not able to understand what the author meant. There is also an agreement mistake, since 'tools' are in the plural and the verb in the singular form. Another example is the adjunct 'simply' in "MVA is relatively simply". What the author meant was 'simple', the calculation is relatively simple, not complicated. In B44, the form 'other worry' is not grammatically correct since 'other' is a plural form and 'worry' is a singular one.

4.2.2.2 Textual errors: Different thematic structures

Textual errors are those errors stemming from the mishandling of the thematic structure in both languages, sometimes changing the function of marked and unmarked Theme. Many times, to avoid linear dislocation, translators of abstracts make this kind of error. In this study, one of the textual errors made by translators was the use of "pro-form insertion It". As demonstrated in the previous chapter, the insertion of "it" generates a sentence containing two subjects, which the English structure does not accept, besides making retrieval of anaphoric referent "it" impossible.

Another error found is that, in an attempt to minimize linear dislocation, translators repeat the (A)VS structure in English. This is a serious error, since it generates not only a textual but also a grammatical error. Unlike the findings in Johns' study where many of the errors derived from inadequate pro-form insertion, for example, in 'It is presented initially a case study', which is the title of his article, in my data source this did not happen, although I had expected such a result. This kind of error was found only twice in abstracts B39 and B49 (see Appendix B).

In my opinion, the most serious error found in the study carried out here was the semantic change of some verbs. These changes distorted the meaning of the sentence in the target text. For instance, in abstract B24 (see Appendix B) the clause "Este trabalho <u>teve como objetivo incluir</u> flexibilidade gerencial (…) na avaliação de reservatórios" was translated as "This paper <u>analyses</u> the managerial flexibility embedded in oil reserves (...)". There is a complete shift of focus, since "aiming to include" (translation mine) does not have the same meaning of "to analyze". There is a serious distortion which changes the whole meaning of the sentence.

4.3 Implications for translation teaching and practice

In what sense does the study here carried out can help me as a translation teacher and as a translation practitioner?

The obvious answer is that if I am able to see where translation errors stem from and the places where they are most likely to occur then I can both become a better translator myself and help my students become good translators, by improving the speed and accuracy of their translations. Along these lines, my argument is that awareness raising as regards thematic structure is crucial in the prevention of translation errors.

I myself confess to previous inability to carry out translation of abstracts, particularly regarding the mishandling of thematic structure: In (unconsciously) trying to minimize linear dislocation I would come up with constructions which both exhibited ungrammaticality and distorted the propositional meaning of the text. In this sense, I can confidently say that knowledge of the topic ended up improving my ability to translate Brazilian `resumos´ into English abstracts. As for the impact of this research upon my teaching, I will next explore the benefits deriving from the use of data source in translation training.

4.3.1 The use of multilingual and parallel data source in translation teaching

Translation as an academic discipline – the formal university-level training of translation – is growing steadily in Brazil, my university being no exception. In this context, teaching translation skills to students who have (ideally) already acquired adequate linguistic competence in at least two languages (English and Portuguese, in my case) involves the need to set up tools and criteria to inform the syllabuses of the disciplines and the pedagogical activities of the courses.

One of such tools is, undoubtedly, the use of multilingual and parallel data source in translation teaching. Firstly, the convention-oriented perspective informing multilingual data source might be said to provide invaluable information on the native patterns found in texts in their home environments, `resumos´ and abstracts being the case in point.

According to Aston (1999:293), sets of monolingual data source – multilingual – "can help translators as reference tools, as complements to traditional dictionaries and grammars". A monolingual general data source also provides a rich language learning environment. In general terms, by drawing attention to the different ways expressions are typically used and with what frequency, different data source "can make learners more sensitive to issues of phraseology, register and frequency, which are poorly documented by other tools" (p. 295).

I subscribe to Aston's view, because in this specific case, the study of the monolingual data source shows how abstracts are written in English, how the different text developments happen and how thematic structure is dealt with in this specific genre. The same applies to Brazilian Portuguese 'resumos'. It is possible to see how texts are developed and mostly to observe the thematic structure in BP. With this knowledge, I can arm my students with better tools and resources to tackle the translation of 'resumos' into English abstracts. In this sense, using data source for translation teaching can have a positive impact on learning.

Regarding parallel data sources, Aston (*ibid.*:307) says that where a variety of parallel realizations are encountered, "this may help learners to distinguish between different contexts of use, and reduce their tendency to think of one-to-one equivalence", which would have a positive impact on learners. However, parallel data sources also introduce new dangers deriving from the assumption that parallel occurrences are effectively equivalent. In this sense, according to the author, the unreliability of the translations in parallel alignment "makes it advisable to use them in conjunction with monolingual or comparable data source, so that, for instance, translation hypotheses derived from a parallel data source can be tested against a collection of original texts in the language in question" (*ibid*: 308).

4.3.2 The specific context of the present research

In the specific context of my research, what I can draw from all the discussion above can be summarized as follows:

(i) By exposing my translation students to the texts in their home environment – in the case of multilingual data source – I can help raise their awareness as to the conventions regulating the production of 'resumos' and abstracts, particularly in what refers to thematic structure and sentence and text organization;

(ii) By exposing them to the STs and to the TTs in alignment – in the case of parallel data source – I can help them reduce their tendency to think of one-to-one equivalence by showing them how to test translation hypotheses against the collection of texts in the multilingual data source;

(iii) Still in relation to parallel data source, I can help them distinguish between those strategies – or translational behavior, in this context – which result in grammatical and generic appropriateness and those resulting in faulty translations, again both in grammatical and in textual terms.

In reflecting on what went wrong, if we are allowed to say so, in the TTs examined in this study, this dissertation has drawn upon the systems of the language pair in contrast and also upon the generic conventions brought to bear on the act of translating abstracts. Thus higher-order considerations of language in use and text in context have played a central role as insights gained from the investigation of both multilingual and parallel data source were integrated into the discussion. In this sense, I would like to close this section quoting Hatim's words (1997: 1):

> (...) an interesting way of looking into the translation process is perhaps through an examination of the kind of decisions which translators make in handling texts. This should enhance our understanding not only of what actually happens when texts confront texts, but also (...) of what it means to be textually competent.

Textual competence in translating is ultimately what I was in search of when I first got interested in the topic developed in this dissertation: being textually competent and helping my students develop into textual competent translators were the driving forces behind this piece of research, whose main findings are summarized in the next and final section.

4.4 Relevance of the study, limitations and suggestions for further research.

The primary aim of this section is to discuss the impact of textual awareness upon translation. As I pointed out in Chapter 1, my professional work has to do with translation both as a practitioner and as a university professor of translation at the "Universidade Regional Integrada do Alto Uruguai e das Missões – Campus de Erechim". In this sense, I find it important to see the extent to which the research carried out here can contribute to the improvement of my performance as a professional in both dimensions mentioned above.

The relevance of this research can be claimed in view of the specificity of the corpus under study and the ever-growing pressures for publication at national and international levels. In Brazil, it is the editorial policy of most academic journals that all papers submitted for publication should be accompanied by abstracts both in Portuguese and in English.

The significance of the results obtained to my career as a translator can be claimed in view of the fact that I am the only expert in translation at my university and in the whole metropolitan area of Erechim, RS. As a consequence, I am frequently requested to do translations of the 'resumos' of papers by scholars of my university into English abstracts, for publication purposes. As for the significance of the results obtained to my career as a translation teacher, it can be claimed in view of the fact that I am responsible for disciplines dealing with translation, both at undergraduate and graduate levels, namely:

(i) 81-157 - Língua Inglesa III
(ii) 082-025 – Tradução: Inglês/Português

In addition to this pedagogical activity, I also supervise the following monographs at the graduate course, whose topics deal mainly with translation and translating:

(i) "Ideology of Subtitling in Mississippi Burning"
(ii) "Influências neurológicas na prática da tradução"

4.4.1 Limitations of the research

Drawing on Hewson and Martin (1991), I would like to say that "coming to the end of a research project of this kind, one is always struck by the vast quantity of material that has been left unsaid" (p.229). Many other aspects regarding translation, within Translation Studies, could have been studied and analyzed in this research, but due to several reasons they were not, and these aspects compound the limitations of this research.

One difficulty arose in applying thematic analysis to translation between Brazilian Portuguese and English as regards translation of abstracts. In the investigation and comparison of thematic patterns in this language pair, more attention could have been given to the distinction between those shifts due to systemic differences between the two languages and those due to conscious decision on the part of the translator. This could be done through a qualitative research. This would be another study which would complement my present findings.

This piece of research could also have benefited from a suggestion I was given by professor Walter Costa: to use data from the *Folha de São Paulo* CD Rom as a means to examine thematic structure in types of texts other than academic abstracts in BP. This would allow me to see if the tendency found in abstracts is typical of this genre or if the same tendency is found in other forms of writing in which greater impersonality is also the case, such as journalistic texts. This would be another good complement to my research.

As for the topic chosen, the focus on thematic structure (although it shed light on some important areas of the translation of abstracts from BP into English) left other important aspects of macrostructure undiscussed: in this sense other important factors such as those discussed by Santos (1996) in relation to the production of abstracts in English alone could have been investigated further in the analysis of translated abstracts from BP into English.

Such limitations might turn into suggestions for further research as explained next.

4.4.2 Suggestions for further research: charting the under-explored could advance our current understanding of textual competence

This study has revealed various issues in need of further research, as follows:

(i) What the non-translated segments of the abstracts are and what the reasons for the non-translation might be; as regards non-translated segments, research attention should be given to what these segments are, where the non-translation occurs and the possible reasons underlying this translation strategy.

(ii) The analysis of the *Folha de São Paulo* CD Rom, which would allow researchers to see if the tendencies as regards thematic structure found in the translated abstracts are typical of this test-type or if they are found in other types as well.

(iii) The extent to which the mishandling of the structures of the abstracts in English resulted in distortion of the ideas discussed in the text itself and in the rejection of the article for publication in international journals. In e-mail contacts with the editorial boards of the journals under study, I asked about the policies for publication, and I was told that the quality of the abstracts does not affect the publication of the article. This is as far as have gone, but I think the topic is problematic and merits further attention.

This research brought a lot of contributions to me both as a person and as a professional. A lot more can be done in relation to the translation of abstracts, especially in the field of Business Administration, which I expect to do in further studies. However, I do feel that this study has contributed to the amount of the literature available on the subject of translation of abstracts. I hope that what has been discussed here will benefit students and professionals alike, thus fulfilling my aim of bridging the gap between reflecting upon the production of translations, the activity of translation teaching, and the practice of translation itself.

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APPENDICES

APPENDIX A

DATA SOURCE FOR ANALYSIS OF "MULTILINGUAL CORPORA"

ABSTRACTS TAKEN FROM "THE JOURNAL OF BUSINESS" – 1999

A1 - Earnings Management to Exceed Thresholds

Earnings provide important information for investment decisions. Thus executives – who are monitored by investors, directors, customers, and suppliers – acting in self-interest and at times for shareholders, have strong incentives to manage earnings. We introduce behavioral thresholds for earnings management. A model shows how thresholds induce specific types of earnings management. Empirical explorations identify earnings management to exceed each of three thresholds: report positive profits, sustain recent performance, and meet analysts' expectations. The positive profits thresholds proves dominant. The future performance of firms suspect for boosting earnings just across a threshold is poorer than that of control group firms.

A2 - The Effect of Socially Activist Investment Policies on the Financial Markets: Evidence from the South African Boycott.

We study the most important legislative and shareholder boycott to date, the boycott of South Africa's apartheid regime, and find that corporate involvement with South Africa was so small that the announcement of legislative/shareholder pressure or voluntary corporate divestment from South Africa had little discernible effect either on the valuation of banks and corporations with South African operations or on the South African financial markets. There is weak evidence that institutional shareholdings increased when corporations divested. In sum, despite the publicity of the boycott and the multitude of divesting companies, political pressure had little visible effect on the financial markets.

A3 - Offshore Hedge Funds: Survival and Performance, 1989-95

We examine the performance of the off-shore hedge fund industry over the period 1989 through 1995 using a database that includes both defunct and currently operating funds. The industry is characterized by high attribution rates of funds, low covariance with the U.S. stock market, evidence consistent with positive risk-adjusted returns over the time, and little evidence of differential manager skill.

A4 - Price Pressure: Evidence from the "Dartboard Column.

I investigate whether 'analysts' recommendations in the "Dartboard" column of the *Wall Street Journal* have an impact on stock prices and whether this impact is temporary or long-lived. I document a significant 2-day announcement effect that is reversed within 15 days. This announcement effect is inter-twined with the pros' track record. My study supports the price pressure hypothesis: abnormal returns and trading volumes around the announcement day are mainly driven by noise trading from naive investors. On average, investors following the experts' recommendations lose 3.8% on a risk-adjusted basis over a 6-month holding period.

A5 - Pricing Patterns as Outcomes of Product Positions.

Prior empirical work shows that different markets are characterized by different pricing patterns, such as Bertrand-Nash pricing or Stackelberg leader-follower pricing. I consider a duopolistic market where ex ante identical firms sequentially position their products prior to competing on prices (in a single- or multiperiod setting) and show that the unique equilibrium outcome involves (i) firms choosing Stackelberg pricing over Bertrand-Nash pricing; and (ii) the positioning first mover acting as the price leader. An attractive property of this model is that the ex post larger firm acts as the price leader, which is consistent with prior empirical evidence.

ABSTRACTS TAKEN FROM "ADMINISTRATIVE SCIENCE QUARTERLY - 1999.

A6 - Wages and Unequal access to Organizational Power: An Empirical Test of Gender Discrimination

This study of Swedish workers investigates gender wage inequality, whether earnings are effected by the gender composition of establishments' managerial and supervisory staff. Theoretical arguments focus on managers' propensity to create and maintain or to undermine institutionalized gender bias and employees' capacity to mobilize resources and establish claims in the wage distribution process, mainly through social networks. Results show that gender-differentiated access to organizational power structure is essential in explaining women's relatively low wages. Women who work in establishments in which relatively many of the managers are men have lower wages than women with similar qualifications and job demands in establishments with more women in the power structure.

A7 - Cooperative or Controlling? The Effects of CEO-board Relations and the Content of Interlocks on the Formation of Joint Ventures

This study examines the influence of the social network of board interlocks on strategic alliance formation. Our theoretical framework suggests how board interlock ties to other firms can increase or decrease the likelihood of alliance formation, depending on the context of relationships between CEOs (chief executive officers) and outside directors. Results suggest that CEO-board relationships characterized by independent board control reduce the likelihood of alliance formation by prompting distrust between corporate leaders, while CEO-board corporation is strategic decision making appears to promote alliance formation by enhancing trust. The findings also show how the effects of direct interlock ties are amplified further by third-party network ties.

A8 - Institutional and Rational Determinants of Organizational Practices: Human Resource Management in European Firms.

This paper tests predictions from institutional and rational perspectives about the adoption of organizational practices through a comparative study of human resource management in firms located in six European countries. Distinguishing between calculative practices – aimed at efficient use of human resources – and collaborative practices – aimed at promoting the goals of both employees and employer – the paper predicts differences in adoption across countries. Results show that institutional determinants, as indicated by the national embeddedness of firms, have a strong effect on the application of both calculative and collaborative human resource management practices. Firm size, a rational determinant, has a considerable impact on calculative practices, whereas the effect of industrial embeddedness is quite modest for both practices.

A9 - The Circulation of Corporate Control: Selection of Functional Backgrounds of New CEOs in large U.S. Manufacturing Firms, 1981-1992.

We develop a conceptual model of the circulation of corporate control – the instability in formal authority at the top of large corporations. According to our model, chief executive officer (CEO) selection is both a political contest for the top executive position and an ideological struggle among members of the firm's political coalition over defining the corporate agenda and strategy. We apply the model to analyze the selection of functional backgrounds of 275 new CEOs in large U.S. manufacturing firms from 1981 to 1992. Results show that the circulation of control adds to previous explanations based on strategic contingencies and institutional isomorphism. Furthermore, we find evidence of an ideological and political obsolescence of financial CEOs and a change in the strategic contingencies that previously favored finance and the financial conception of control. Results suggest that conceptions of control are best understood as styles, rather than institutions, as these conceptions are neither taken for granted nor isomorphic across industries or the manufacturing sector, but are subject to sectoral variation, contestation, and change.

ABSTRACTS TAKEN FROM "JOURNAL OF WORLD BUSINSS" – 1999

A10 – Knowing who you are doing business with in Japan: A managerial view of Keiretsu and Keiretsu Business Groups

Most executives do not fully understand the notion of keiretsu business groups (KBG) nor the implications of dealing with a KBG member. A keiretsu is a sophisticated, multifaceted management device – not a form of organization. KBGs are not trusts, cartels, or conglomerates but groups of firms with an inticate web of inter-firm relations. Both are products of Japan's peculiar culture, history, and business system and represent the manner in which many Japanese firms conduct their collective operations.

A11 – Surviving the transition: central European bank executives' view of environmental change

Executives of ten large banks in three Central European transition economies were interviewed concerning their views of environmental changes. The study sought to identify environmental sectors that were important and uncertain for the bank executives. Central European banks perceived customers, competitors, economic, and regulatory environmental sectors more uncertain than international and technological factors, sociocultural issues, and new entrants. We found that executives of banks with poor prior performance viewed environmental changes as threats rather than as opportunities.

A12 – Assessing the recent Asian economic crises: the role of virtuous and vicious cycles

This is an analysis of the causes of the late 1997 economic crises in the (until then) strong Asian economies. This paper shows that, although the two proximate causes of this crises seem to be stronger inter-national competition and poorly developed domestic financial systems in Asia, the underlying causes were related more to the virtuous economic and financial cycles in Asia that turned into vicious cycles in 1997. The key determinant of Asian recovery is the reduction in the importance of these positive feedback cycles by reforming Asian domestic financial systems so they are no longer characterized by low disclosure levels, high debt ratios, and high political influence in credit decisions.

A13 – What makes transplants thrive: managing the transfer of "best practice" at Japanese auto plants in North America.

Multinational companies are a conduit by which superior organizing principles can be transferred across national, institutional, and cultural environments. However, for such transplantation efforts to be successful, the companies face the challenge of adapting their practices and principles to the requirements of local environments. In the process they risk losing the performance and benefits from those practices. In this paper we study the North American transplant production facilities of Japanese automobile producers – companies known for their ability to achieve superior labor productivity and quality in their manufacturing plants, along with high levels of product variety – for insight into how the practices associated with superior performance (including work systems, technology choices, and supplier relations) can be implemented outside of Japan. By comparing the Japanese transplants with automobile plants in Japan, and Big 3 plants in North America, we show that the extent of transfer varies by type of practice. Furthermore, we find that plants can shape and alter their external environment, and can also buffer themselves from it. Despite these modifications, we find that the transplants are able to achieve productivity and quality levels similar to plants in Japan.

A14 – Managing relationships within Sino-foreign Joint Ventures

In setting up joint ventures (JVs) in the PRC, foreign staff are compelled to go through a painful management process. This includes encountering a myriad of problems and difficulties, ranging from external environmental problems to internal organizational conflicts of interest. Based on an empirical study of two leading JV pioneers in China, Shanghai Volkswagen Automotive Company Ltd. (SVW) and Beijing Jeep Corp. (BJC), this article suggests that the problems encountered are, in most cases, attributable to managerial relationships and human interactions. It submits that managers working within JVs in China would benefit greatly from Understanding the dynamics of the relationships. Looking at this situation from both Western and Chinese perspectives, it sets out to describe the essential themes found in three principle managerial relationships: 1) between teo/more parents; 2) between parents and the venture; and 3) between two groups of staff.

ABSTRACTS TAKEN FROM PUBLIC ADMINISTRATION – AN INTERNATIONAL QUARTERLY

A15 – Competition as Public policy: A review of challenge funding

Since their introduction in 1984 Challenge funds have been widely adopted by central government. They are now used by twelve government departments to distribute competitively more than £3,250 million of Exchequer funds. The introduction of Challenge funds appear to have been politically driven, usually focusing on the objectives of cost and efficiency rather than quality and equity. They represent a further manifestation of the introduction competition and 'market style' structures.

This paper examines the key features of 41 Challenge funds and their operational characteristics. Numerous benefits, such as cost savings and innovation, arising from the introduction of Challenge funds have been put forward. By reviewing other studies, which have investigated the impact of the introduction of competition in producer and consumer markets, and through comparison with previous schemes it is possible to examine the potential impact of Challenge funds.

Administrative and monitoring mechanisms are found to be centralizing control, despite assertions to the contrary. There is a growing concern that the level of information collection required is too arduous and it is used to control and regulate rather than as a method of investigating where operations could be improved. Leverage from Challenge funds has been no more successful than earlier non-competitive initiatives. Competitive bidding could stifle innovation and participatory democracy is not encouraged or facilitated by Challenge funds.

A16 – The Welsh Office and Welsh autonomy

This article examines the claim that, by the late 1980s, the Welsh Office possessed sufficient autonomy to implement policies that diverged from those of the functional Whitehall ministries. Two case studies, housing and education, are examined as these areas where institutional autonomy and distinctive needs might be expected to be more apparent in Wales. The conclusion of this article is that the claim of Welsh exceptionalism (certainly in terms of policies) have been much exaggerated and that the 'center', Westminster and Whiteball, was able to impose its preferred policies in Wales, whatever appearances to the contrary.

A17 – Ownership or competition? An evaluation of the effects of privatization on industrial relations institutions, processes and outcomes

This paper examines whether privatization and exposure to product market competition leads to changes in labour management and industrial relations. Three sets of propositions are examined: privatization will lead to lower changes in industrial relations institutions and processes; privatization will lead to lower average levels of remuneration relative to public sector firms; and privatization will lead to relatively higher levels of efficiency. In each instance it is hypothesized that competition will add to ownership effects. These propositions are examined drawing on data derived from the UK bus industry.

A18 – Designing health service organization in the UK, 1968 to 1998: From blueprint to bright idea and 'manipulated emergence'

Four sets of reforms of the National Health Service are employed to illustrate the changing character of policy making in this sector over a thirty year period, from the production of a carefully developed technocratic blueprint for its organization to the promulgation of a series of bright ideas accompanied by incentives for local actors top develop them into concrete organizational arrangements consonant with these ideas. We term this latter approach 'manipulated emergence and relate it to the literatures of organizational culture and pos-Fordism. The approach adopted by the 1997 Labour government is largely, though not wholly consistent with this, and it remains to be seen whether the high-water mark of manipulated emergence has passed.

ABSTRACTS TAKEN FROM REVISTA DE CIÊNCIAS DA ADMINISTRAÇÃO -

A19 - A formação da estratégia pela aprendizagem organizacional

Ao longo das últimas décadas, a formação das estratégias organizacionais tem sido compreendida segundo perspectivas divergentes. O artigo apresenta, de forma resumida, essas abordagens variantes (ou "escolas"), dando atenção especial à denominada escola da aprendizagem, sustentada no conceito de organização voltada para o aprendizado contínuo ("learning organization"). Constata-se que referida abordagem se enraíza em um novo paradigma da vida humana individual e associada, e que, para os autores a ela vinculados, a formação das estratégias organizacionais eficazes deve envolver muito mais do que a adoção de um método racionalista e mecânico. São necessárias modificações profundas no processo de gestão da organização, transformando-a numa organização que aprende continuamente, em face das exigências do ambiente em constante mutação.

A20 - A participação como instrumento da modernização organizacional

Este artigo caracteriza a participação como uma das possibilidades objetivas para a superação de entraves burocráticos e determinísticos na busca da modernização organizacional. A partir da análise dos principais fundamentos teóricos da chamada gestão participativa e, ainda, do resgate de diversas experiências práticas de empresas brasileiras, a participação é caracterizada como uma necessidade fundamental das pessoas e, conseqüentemente, das organizações. Propõe que as empresas aspirantes a um "modelo atualizante" de planejamento e participação revisem suas bases culturais, a estrutura de poder, os sistemas de comunicação e de informação, os processos de desenvolvimento e de aprendizagem, entre outros pontos, entendendo a participação, bem como planejamento participativo, como habilidades que podem ser aprendidas e aperfeiçoadas.

A21 - Indicadores da qualidade em restaurantes: um estudo de caso

O objetivo deste artigo foi investigar o grau de satisfação dos cientes em restaurantes, compilando-se indicadores de qualidade que, quando aplicados aos clientes, identificam seus pontos críticos. A pesquisa foi realizada no Restaurante Universitário da Universidade Federal de Santa Catarina RU/UFSC, utilizando método não-probabilístico de coleta de dados. Elaboraram-se propostas, recomendando soluções a curto e longo prazo à localidade investigada.

A22 - Mudanças conjunturais do ensino e noções gerais de ensino a distância: o caso LED

Os tempos mudaram. Aquele hábito de ir para a escola, sentar na cadeira e estudar por horas os professores explanarem várias teorias sem possível aplicação estão com os dias contados. O ensino a distância vem revolucionando o sistema de aprendizado nas universidades e nas empresas do país. O LED da UFSC pode ser considerado como um exemplo de referencial e de sucesso tanto no modelo gerencial quanto no pedagógico e metodológico. Este artigo objetiva solucionar algumas das dúvidas mais freqüentes referente ao ensino a distância bem como relatar alguns fatores que tornaram o LED uma instituição de excelência na área de educação.

A23 - Valor Econômico Adicionado (E.V.A.): Uma ferramenta para mensuração da real lucratividade de uma operação ou empreendimento.

Para acompanhar as mudanças na forma de administrar empresas, o contador deve passar a deter conhecimentos suficientes relacionados ao Valor Econômico Adicionado ou Agregado, também conhecido como *Economic Value Added* (EVA).
O poder do conceito do Valor Econômico Agregado (EVA) origina-se da idéia de que não se pode conhecer se uma operação está realmente criando valor, levando-se em conta o custo de oportunidade de todo o capital utilizado. Na maioria das operações internas das companhias, não se tem idéia de qual ou de quanto é o valor agregado pelas mesmas.

ABSTRACT TAKEN FROM "REVISTA DE ADMINISTRAÇÃO DE EMPRESAS" –RAE –

A24 - Contexto Social e Imaginário Organizacional Moderno

Este artigo analisa algumas das mudanças que vêm ocorrendo no ambiente socioorganizacional e as respostas que as grandes empresas têm dado a elas, especialmente desenvolvendo um imaginário próprio que busca a sua legitimação como ator social central.

A25 - Como sustentar o crescimento com base nos recursos e nas competências distintivas: a experiência da Illycaffé

As mudanças no jogo competitivo induzem as empresas a pôr-se em discussão e amadurecer novas competências. Um elemento relevante no caso illycaffé, líder de qualidade em café expresso, consiste na capacidade da empresa de redefinir e renovar os próprios recursos e as relações estratégicas, para perseguir simultaneamente os objetivos de qualidade de produto e de inovação do processo produtivo. As redes de relações e os investimentos em P&D permitem crescimento rápido e maior eficácia nas "manobras estratégicas" da empresa.

A26 - Modelos de Avaliação de Marca

As marcas emergem progressivamente como uma dimensão central e um ativo estratégico na ação das organizações. Neste sentido, a avaliação do desempenho das marcas assume uma grande importância para a sua gestão. Adicionalmente, tornam-se necessários o desenvolvimento e a articulação de um vocabulário comum. Perante a multiplicidade de conceitos e modelos de avaliação, são contrastadas e sintetizadas as abordagens acadêmicas e empresariais dominantes.

A27 - Globalização e Crise do Estado Nacional

A pesquisa analisa a crise do Estado Nacional no contexto da ordem mundial pós-Guerra Fria, enfatizando o fortalecimento de instâncias de poder supranacionais e infranacionais que estão solapando a autonomia dos Estados. Tais transformações na esfera política estão vinculadas ao processo geral de globalização.

ABSTRACTS TAKEN FROM REVISTA DE ADMINISTRAÇÃO - USP

A28 – Empreendedorismo: empreendedores e proprietários-gerentes de pequenos negócios

Neste texto é apresentado um resumo de pesquisa sobre empreendedores e proprietários-gerentes. Primeiramente, são introduzidos os pioneiros no campo, Cantilon, Say e Schumpeter, e mencionadas as contribuições de alguns outros economistas, incluindo Knight, Hayek, Penrose e Casson. Em seguida são descritas as contribuições de comportamentalistas, com ênfase especial em McClelland. Na seqüência são discutidas as características mais comumente atribuídas aos empreendedores. A partir de 1980, o campo do empreendedorismo transpôs fronteiras e tem sido explorado por quase todas as disciplinas da área de ciências humanas. Assim, algumas tipologias mais estudadas no empreendedorismo são apresentadas e o autor propõe uma tipologia de proprietários-gerentes de pequenos negócios. Várias tendências teóricas são também discutidas, sendo sugerida uma definição do termo empreendedor. Finalmente algumas reflexões sobre direções futuras na área são apresentadas.

A29 – Licitações públicas no Brasil: explorando o conceito de ineficiência por desenho

Neste artigo discute-se a eficiência das transações entre os setores público e privado sob a ótica da Nova Economia Institucional. Especificamente, são investigadas as compras públicas de alimentos por meio da licitação, instrumento criado para possibilitar o acesso de todos os interessados em contratar com o setor público e promover a competição entre fornecedores, resultando, assim, na melhor utilização dos recursos públicos. Os escândalos envolvendo o desvio desses recursos nas licitações, reportados constantemente pela imprensa, constituem evidencias de ineficiência na utilização dos mesmos. Essas evidências foram corroboradas pelos resultados dos testes empíricos, que compararam os preços dos alimentos adquiridos pelo setor público com os respectivos preços praticados no mercado. Mostra-se que a ineficiência não decorre da forma de governança da transação, isto é, se via mercado ou via contratual, mas sim do ambiente institucional em que ela decorre. A ausência de órgãos de controle independentes em um ambiente caracterizado por incerteza e assimetria de informações leva as falhas na aplicação da legislação, permitindo a proliferação de práticas oportunistas. Conclui-se que a reforma da legislação não é o mecanismo adequado para resolver o problema de oportunismo na licitações públicas, mas sim a reformulação das instituições publicas no que tange às suas funções de monitoramento de controle.

A30 – Crédito e planos econômicos

Neste artigo tem-se por objetivo analisar a utilização, pelo governo, da política de crédito nos diversos planos econômicos, como forma de orientar os gestores das áreas de crédito de empresas e bancos na formulação de suas estratégias. Como metodologia, utilizou-se a comparação estatística do comportamento das vendas a prazo nos períodos que antecederam e sucederam cada plano econômico, concluindo-se que os diversos planos inverteram a tendência anterior a cada um e, portanto, utilizaram-se da política de crédito.

A31 – Metodologia de custeio da virtualidade: um caso prático de serviços bancários

Na pesquisa aqui apresentada são abordados os custos bancários sob o vértice da prestação de serviços eletrônicos ao cliente. Dissertações e abordagens sobre o tema de custos bancários já existem na literatura há muitos anos. No entanto, a maciça migração das atividades bancárias básicas executadas no balcão das agências para pontos de auto-atendimento, por meio de alternativas tecnológicas baseadas em tele processamento, faz surgir novos desafios às instituições financeiras. Neste estudo procura-se aprimorar os sistemas de custeio dos bancos, infiltrando-se em temas relacionados a informática, telecomunicação, capacidade e ociosidade de equipamentos e prestação de serviços

A32 – Modelo de gestão do sistema de planejamento, programação e controle de produção

Este trabalho é proposto um Modelo de gestão do Sistema de Planejamento, Programação e Controle da Produção (PPCP), objetivando contribuir para a implantação de boas práticas de gestão em Sistemas de PPCP e suportar a manutenção e a melhoria desses sistemas quando implantados. O modelo é baseado na gestão do sistema PPCP abordado no sexto estágio da metodologia denominada MISPEM – Modelo de Integração do Sistema de PPCP à Estratégia de Manufatura (Pedroso, 1996) – e nos requisitos do Sistema de Qualidade segundo a norma ISSO 9001. a idéia principal do modelo reside na consideração de que o processo de operar, manter e melhorar tal sistema contempla atividades repetitivas. A partir dessa consideração, propõe-se nove requisitos, desdobrados em itens, como componentes do modelo.

ABSTRACTS TAKEN FROM REVISTA ELETRÔNICA DE ADMINISTRAÇÃO – UFRGS

A33 – Fundamentos para análise do downsizing como estratégia de mudança organizacional

Este artigo tem como objetivo principal apresentar alguns elementos caracterizadores da mudança organizacional, de forma geral, e de um tipo específico de mudança, nomeadamente, o *downsizing*. Assim, pretende-se oferecer subsídios para a análise do *downsizing* como uma estratégia de mudança organizacional. Para tanto o artigo inicia apresentando uma análise do conceito de mudança organizacional, discutindo abordagens presentes na literatura especializada na área de Organizações. Além dos níveis, graus e perspectivas da mudança, chama-se especial atenção à importância do entendimento dos conceitos de voluntarismo e determinismo como pontos de partida para se proceder a uma análise adequada. A seguir, apresenta-se o conceito de *downsizing*, deferenciando-o de outros conceitos similares, bem como chamando atenção para o que Freeman e Cameron (1993) denominam atributos-chave do *downsizing*. Segue-se, ainda, uma análise das características e estratégias de *downsizing* em duas circunstâncias organizacionais específicas: período de convergência e período de reorientação. Conclui-se com algumas considerações sobre formas adicionais de analisar o fenômeno, e sugere-se alguns temas para pesquisas futuras.

A34 – A produtividade e seus impactos sobre as condições econômicas e sociais de um país

O artigo analisa as orientações estratégicas das empresas frente à abertura internacional e o impacto destas decisões sobre a situação social e econômica dos países.
Será analisado especialmente o caso brasileiro, que conheceu nos últimos anos uma forte mutação ligada ao processo de liberalização econômica. É estabelecido um paralelo com outros países latino-americanos e um país europeu, no caso a França.

A35 - -Características desejáveis dos Enterprises Infomation Systems no final dos anos 90

Este estudo relata a busca de novos modelos de informação, sobretudo na esfera dos sistemas EIS. A mudança de denominação de *Executive* para *Enterprise Information System* reflete uma mudança substancial no perfil desses sistemas, seja em relação a sua abrangência (voltados para todos os usuários finais do negócio,um subconjunto dos quais é constituído pelos executivos), seja em relação as suas características (interface e estratégias de acesso). No contexto de globalização e acelerada evolução tecnológica – fatores que pressionam as organizações a uma constante adaptação – este trabalho procura explorar quais são as características desejáveis de um *Enterprise Information System* no final dos anos 90, rumo a proatividade. Este último conceito, a proatividade, revela-se essencial nessa investigação.

A36 – Mecanismos de interação universidade-empresa e seus agentes: o gatekeeper e o agente universitário de interação

O artigo tem como objetivo revisar a literatura sobre os mecanismos de interação, bem como identificar os tipos de agentes de interação universidade-empresa e quais seus papéis neste processo. Para tanto, entrevistou-se dois pesquisadores da Universidade Federal do Rio Grande do Sul – UFRGS, um executivo de grande empresa da Região Metropolitana de Porto Alegre e um administrador universitário da Universidade de São Paulo – USP, abordando questões relacionadas à interação e seus agentes. Com resultado do artigo, apresenta-se as definições dos diferentes agentes de interação e seus papéis de atuação, evidenciando sua importância para diminuir o *gap* existente entre empresa e universidade. Os agentes são identificados aqui como *gatekeeper* (que atua no âmbito da empresa) e agente universitário de interação (que atua no âmbito da universidade).

APPENDIX B

DATA SOURCE FOR ANALYSIS OF 'PARALLEL CORPORA'

ABSTRACTS TAKEN FROM "REVISTA DE CIÊNCIAS DA ADMINISTRAÇÃO" PUBLISHED BY UNIVERSIDADE FEDERAL DE SANTA CATARINA

B1 - A formação da estratégia pela aprendizagem organizacional

Ao longo das últimas décadas, a formação das estratégias organizacionais tem sido compreendida segundo perspectivas divergentes. O artigo apresenta, de forma resumida, essas abordagens variantes (ou "escolas"), dando atenção especial à denominada escola da aprendizagem, sustentada no conceito de organização voltada para o aprendizado contínuo ("learning organization"). Constata-se que referida abordagem se enraíza em um novo paradigma da vida humana individual e associada, e que, para os autores a ela vinculados, a formação das estratégias organizacionais eficazes deve envolver muito mais do que a adoção de um método racionalista e mecânico. São necessárias modificações profundas no processo de gestão da organização, transformando-a numa organização que aprende continuamente, em face das exigências do ambiente em constante mutação.

In the last decades, formation of organizational strategies has been understood under divergent perspectives. This article presents, in a succint way, these divergent approaches ("or schools"), focusing especially on the so-called "learning school", which is based on the concept of organization oriented to continuos learning ("learning organization"). It is observed that this approach emerged from a new paradigm of individual and collective human life, and that in the opinion of the scholars associated with it, efficient formation of organizational strategies encompasses much more than the adoption of a rational and mechanical method. Serious modifications in the process of organizational management are necessary, in order to transform it into a learning organization which accounts for the exigences of a constantly changing environment.

B2 - A participação como instrumento da modernização organizacional

Este artigo caracteriza a participação como uma das possibilidades objetivas para a superação de entraves burocráticos e determinísticos na busca da modernização organizacional. A partir da análise dos principais fundamentos teóricos da chamada gestão participativa e, ainda, do resgate de diversas experiências práticas de empresas brasileiras, a participação é caracterizada como uma necessidade fundamental das pessoas e, consequentemente, das organizações. Propõe que as empresas aspirantes a um "modelo atualizante" de planejamento e participação revisem suas bases culturais, a estrutura de poder, os sistemas de comunicação e de informação, os processos de desenvolvimento e de aprendizagem, entre outros pontos, entendendo a participação, bem como planejamento participativo, como habilidades que podem ser aprendidas e aperfeiçoadas.

This article describes participation as one of the objective possibilities to overcome bureaucratic and deterministic obstacles in the search for organizational modernization. The experience of some Brazilian corporations are reported to illustrate participation as a basic need of human beings and, consequently, of business organizations. Thus, corporations looking for the so called "modern pattern" of planning and participation should be willing to review their organizational culture, power structure, communication and information systems, learning and development processes, in order to endorse participation and participative planning as skills which can be both learned and improved.

B3 - Indicadores da qualidade em restaurantes: um estudo de caso

O objetivo deste artigo foi investigar o grau de satisfação dos clientes em restaurantes, compilando-se indicadores de qualidade que, quando aplicados aos clientes, identificam seus pontos críticos. A pesquisa foi realizada no Restaurante Universitário da Universidade Federal de Santa Catarina RU/UFSC, utilizando método não-probabilístico de coleta de dados. Elaboraram-se propostas, recomendando soluções a curto e longo prazo à localidade investigada.

The objective of this article was to investigate the customer satisfaction degree at restaurants, compiling quality indicators concerned to the clients expectation, to identify the critical points. The research was carried through at the University Restaurant of the Universidade Federal de Santa Catarina – RU/UFSC, using non-probabilistic method of data collection. Proposals have been elaborated, recommending short and long term solutions to the investigated place.

B4 - Mudanças conjunturais do ensino e noções gerais de ensino a distância: o caso LED

Os tempos mudaram. Aquele hábito de ir para a escola, sentar na cadeira e estudar por horas os professores explanarem várias teorias sem possível aplicação estão com os dias contados. O ensino a distância vem revolucionando o sistema de aprendizado nas universidades e nas empresas do país. O LED da UFSC pode ser considerado como um exemplo de referencial e de sucesso tanto no modelo gerencial quanto no pedagógico e metodológico.

Este artigo objetiva solucionar algumas das dúvidas mais freqüentes referente ao ensino a distância bem como relatar alguns fatores que tornaram o LED uma instituição de excelência na área de educação.

Times have changed, the regular habit to go to school, have a seat and listen to teachers talk about theories without possible application is finishing. Distance Learning approach has been causing a revolution in learning systems in universities and also in enterprises throughout country. The Distance Education Laboratory LED, of the Universidade Federal de Santa Catarina – UFSC, can be considered as an example and a successful reference fron the managerial model to the pedagogic and methodological model.

This paper aims to propose some answers concerning Distance Learning/Education as well as to report some factors which made the LED on excellence institution in the Distance Education f

B5 - Valor Econômico Adicionado (E.V.A.): Uma ferramenta para mensuração da real lucratividade de uma operação ou empreendimento.

Para acompanhar as mudanças na forma de administrar empresas, o contador deve passar a deter conhecimentos suficientes relacionados ao Valor Econômico Adicionado ou Agregado, também conhecido como *Economic Value Added* (EVA).

O poder do conceito do Valor Econômico Agregado (EVA) origina-se da idéia de que não se pode conhecer se uma operação está realmente criando valor, levando-se em conta o custo de oportunidade de todo o capital utilizado. Na maioria das operações internas das companhias, não se tem idéia de qual ou de quanto é o valor agregado pelas mesmas.

To follow the changes in the way to administer companies, the accountant must have sufficient knowledge related to the Economic Value Added (EVA).

The power of to the Economic Value Added (EVA) concept was originated from the idea that one can not know if an operation is really creating value, taking in to account the opportunist cost of all the utilized capital. In most company operations, there is no idea of what or how much the value aggregated by these companies.

B6 - A Administração dos Cibertributos

O presente trabalho identifica alguns procedimentos que ocorrem no ciberespaço, como a tributação dos provedores de internet. Debate também o recolhimento do Imposto de Renda e do IPVA através da rede, bem como discute a extensão da imunidade ao hvro eletrônico e ao ensino à distância. Indica como a União Européia está enfrentando a tributação dos negócios realizados via correio eletrônico. Situa, por fim, operadores jurídicos e administradores diante deste fenômeno da realidade digital, que é a existência dos cibertributos.

This work identifies some procedures that happen in the cyberspace scope, like the Web providers tributation. It also discuss the charging of some taxes as the income tax and the IPVA through the net, as well as the duty-free electronic book and distance education. It presents how the EU is facing the tributation of business by e-mail. Finally, it establishes the view of the managers and law professionals regarding this digital phenomenon, the "cibertax".

B7 - Qualificação e tecnologia no setor de plástico de 3ª geração do RS

Este trabalho analisa o setor de plásticos de 3ªgeração no estado do Rio Grande do Sul. Inicialmente, é situado o npivel tecnológico do setor e tratado o tema qualificação profissional, trazendo, à luz desta análise, os impactos ocasionados pela introdução de novos padrões de produção sobre as exigências de conhecimento dos trabalhadores. Posteriormente, é mapeado o setor estudado e apresentada a organização do trabalho e da produção nas empresas deste ramo. Posteriormente, é mapeado o setor estudado e apresentada a organização do trabalho e da produção nas empresas deste ramo de negócios. Inclui-se também um estudo de caso, em que são analisados, o processo tecnológico e os requisitos de qualificação exigidos hoje, pela empresa.

This study analyzes the third generation plastic sector located in Rio Grande do Sul. First of all, the sector's technological level is presented, bringing up the impacts caused by the introduction of new production patterns on what is expected from the employees in terms of knowledge. Afterwards the sector is analyzed and the work and production organization of this kind of business is presented. It was also included a case study in which the tecnological process and the qualification skills demanded by the organization today are reviewed.

B8 - Implicações do uso da tecnologia de informação como recurso de inovação no ambiente organizacional

O uso da tecnologia de informação por parte das empresas, atualmente, mostra-se cada vez mais imprescindível. No entanto, sua introdução usualmente inclui uma série de implicações sobre o dia-dia das organizações. Neste contexto, busca-se, à luz da literatura, analisar alguns dos obstáculos e efeitos envolvidos no processo de inovação tecnológica, dando-se ênfase à forma como tais recursos da informática afetam o ambiente organizacional e, em especial, os indivíduos que o compõe.

The use of the information technology by organizations has become more and more necessary. However, its introduction usually includes a set of implications over the daily activities of the organization. In this context, considering the specialized literature, this paper examines some of the obstacles and effects that take part in the innovation process, with emphasis on the way these information resources affect the organizational environment and, mainly, its individuals.

B9 - A empresa vista sob a ótica da totalidade

As organizações estão enfrentando ambientes extremamente dinâmicos, provocando alterações radicais no modo de serem gerenciadas. O sucesso para esse impasse está na capacidade que as pessoas têm em aprender a aprender o novo e a desaprender o antigo. Dentro deste contexto, o objetivo central do artigo reveste-se de um caráter especulativo acerca de um novo paradigma que está sendo construído no seio do discurso acadêmico para as organizações. No artigo reina uma defesa do paradigma holístico. Tem-se assim, contudo, a nítida impressão que é só através dessa interpretação que as organizações vão amortecer os abalos sobre si de um mundo competitivo, repleto de incertezas, imprevisibilidades, instabilidades e perplexidades. O artigo tem a preocupação de discutir a complementaridade entre os dois, alertando que o modelo ideal é utópico.

Organizations are facing out excessive dynamic environments which are promoting rigorous transformations in the way they are administered. The success for this dilemma lies in the capacity that people have of learning how to learn the new and how to unlearn the old. Thus, the main finality of the paper follows a speculating character about the new paradigm that is beig built in the heart of the academic speech for organizations. In the article, there is a constant defense of the holistic paradigm. However, there is a clear feeling that it is only through this interpretation that organizations are going to deaden the impacts over themselves from a competitive world, a world full of uncertainties, improbabilities, instabilities and perplexities. The article is worried about discussing the complementary aspect of the models, giving alerting that the ideal model is utopian.

B10 - Recriando a função financeira no contexto globalizado

A emergência da variável ambiental, como diferencial competitivo das organizações do terceiro milênio, estimula positivamente a recriação da função financeira. A construção de um bom passivo tem como pressupostos básicos a antecipação, o reconhecimento e o gerenciamento dos riscos financeiros como forma de sustar multas e outras sanções previstas na legislação. O gestor financeiro, portanto, em um mundo globalizado, em que a variável econômica é preponderante, deverá estar consciente da transcendência de suas novas funções. O conteúdo específico destas não deverá ser relegado a um segundo plano, mas ajustar-se a uma nova realidade na qual a recriação da função financeira é um imperativo, e a emergência da variável ambiental um catalizador positivo desta mudança.

The emergence of the environmental variable, as a competitive differential of third millennium organizations, stimulates positively the financial function recreation. The building of sound company assets has as its basic pressupositions the anticipation, recognition and management of financial risks as a way to avoid fines and other sanctions stated in the legislation. Financial administrators, in a globalized world in which the economic variable is preponderant, should be aware of the transcendence of their new functions. The specific content of these functions should not be relegated to the background but, instead, be adjusted to a new reality in which the recreation of the financial function is an imperative and the emergence of the environmental variable is a catalyst for the change.

B11 - Determinantes organizacionais da gestão em pequenas e médias empresas (PMES) da Grande Florianópolis / SC

O artigo apresenta uma pesquisa realizada em PMEs da Grande Florianópolis, com o objetivo de conhecer a visão de seus dirigentes quanto aos fatores de sucesso e fracasso na fase inicial de implantação da empresa e na fase da empresa já instalada. Apresenta uma visão conceitual do tema, seguida da metodologia, apresentação e análise dos dados, e considerações finais.

The article presents a research accomplished in Small and Medium Companies of Great Florianópolis, with the objective of the its leaders' vision in relation to the factors of success and failure in the initial phase of the company and in the phase of the company already installed. It presents a conceptual vision of the theme, followed by the methodology, presentation and analysis of the data, and final considerations.

B12 - Avaliação dos padrões de competitividade à luz do desenvolvimento sustentável: o caso da Indústria Trombini de Papel e Embalagens S/A em Santa Catarina

Este estudo tem como objetivo conhecer na empresa estudada o seu comportamento e desempenho em relação ao Desenvolvimento Sustentável – DS como estratégia competitiva e de excelência profissional. Para tanto, avalia a forma como o DS afeta os padrões de competitividade da Trombini Papel e Embalagens S/A – TPE ao agregar variáveis sustentáveis aos principais componentes de seu padrão de concorrência. O estudo identifica e descreve os padrões de competitividade que são afetados, mostrando ainda como o fenômeno influencia desde o planejamento com as estratégias sustentáveis até as metas e procedimentos operacionais e gerenciais da empresa. O assumir formal de uma ética ambiental pressupõe a descoberta ou reforço de valores organizacionais e gerenciais voltados para a preservação ecológica para a busca da melhoria contínua e ao desenvolvimento dos seres humanos. A gestão ambiental formalizada dentro da empresa TPE ocorre em cinco dimensões, que são a ético-cultural, a pedagógica, a operacional, a gerencial e as relações institucionais com a comunidade.

The objective of this study is to get to know the analyzed organization, its behavior and development related to SD – Sustainable Development as a competitive and enterprise excellence strategy. For this purpose, the study assesses the way SD has affected the competitive patterns of TPE Trombini Papel e Embalagens S/A when the organization adds sustainable variables to the main components of its competition patters. The study identifies and describes the competitive patterns that are affected, still showing how the phenomenon influences from the planning activity until the goals and operational procedures of the organization, taking into account the sustainable strategies. The formal establishment of an environmental ethic supposes the discovery or reinforcement of organization and management values, directed for the ecological preservation, the search for continuous improvement and human being development. The formal management of the environment at the TPE occurs in five dimensions, which are: the ethic-cultural, the pedagogic, the operational, the management and the institutional relations with the community.

B13 - Comportamento Estratégico: Um estudo da indústria de plásticos de Santa Catarina

Este trabalho foi desenvolvido com o objetivo de identificar qual tipo de comportamento estratégico é predominantemente adotado por organizações de médio porte da indústria de plásticos de Santa Catarina. Como objetivos específicos, procurou-se: confrontar o modelo teórico de Miles e Snow (1978) com a realidade observada nas organizações estudadas; caracterizar, estruturalmente, as empresas estudads; e, descrever e analisar as dimensões que caracterizam o comportamento estratégico, segundo a visão dos dirigentes pesquisados. Como resultado da coleta de dados, identificou-se que, conforme a tipologia de Miles e Snow, a grande maioria se auto-define como prospectora. Entretanto, a análise particular de cada uma das onze dimensões caracterizadoras do comportamento estratégico, evidenciou divergências entre o perfil identificado, separadamente, em cada uma das dimensões estudadas.

This paper was developed with the purpose of identifying what kind of strategic behavior is predominantly adopted by medium sized organizations of the industry of plastic in Santa Catarina. As specific goals we tried: to confront the theoretical model of Miles and Snow (1978) whith the reality observed in the organizations; analyzed to characterize, structurally, the companies studied; and, to describe and analyze the dimensions which characterize the strategic behavior according to the view of the managers. As a result of the data collected it was observed that the great majority call themselves prospectors, according to the Miles and Snow tipology. However, the particular analysis of each of the eleven dimensions that characterized the strategic behavior, pointed out a divergency between the profile identified, separately, in each one of the dimensions studied.

B14 – A contribuição do Serviço Nacional de Aprendizagem Comercial SENAC/SC na oferta de cursos técnicos de Turismo e Hospitalidade

A expansão da atividade turística, no Brasil, tem induzido à abertura de cursos de formação, aperfeiçoamento e qualificação profissional de 1°, 2° e 3° graus, nas áreas de turismo e hospitalidade. O Serviço Nacional de Aprendizagem Comercial – SENAC/SC, com larga tradição na oferta de programas de desenvolvimento de pessoas para os ramos de comércio e serviços, elaborou, implantou e aperfeiçoou projeto pedagógico dos Cursos Técnicos de Tursmo e Hospitalidade , para o mercado da Grande Florianópolis. Estruturado nos pressupostos de aprender a aprender e aprender fazendo, com disciplinas sistematizadas em módulos temáticos, acompanhadas de proposta de aperfeiçoamento e qualificação continuada do corpo docente, o projeto é objeto de análise no presente artigo, utilizando como elemento básico a metodologia de avaliação das condições de oferta de cursos de graduação, aplicadas ao campo da administração.

The expansion of the touristic activity in Brazil, has been inducing the opening of educational courses, improvement and professional qualification of primary, secondary and higher education in the areas of tourism and hospitality. The Serviço Nacional de Aprendizagem Comercial —SENAC/SC, with wide tradition in offering programs for the development of trading and services, elaborated, implanted and improved the pedagogic project of Technical Courses of Tourism and Hospitality, to the metropolitan market of Florianópolis. The project is structured in the pressupositions of learning to learn, and learning practicing, with systematized subjects in thematic modules, together with an improvement and continuous qualification proposal of the faculty. It is the analysis object of this present article using as a basic element the evaluation methodology of the conditions of graduation courses offered, applied to the business administration field.

B15 – A trajetória de uma biblioteca especializada: o caso da biblioteca do curso de Pós-graduação em Administração da UFSC

Descreve-se e analisa-se o processo de criação e implantação da Biblioteca do Curso de Pós Graduação em Administração da UFSC, determinando-se os fatores intervenientes neste processo, assim como na montagem do acervo bibliográfico e estrutura de funcionamento, visando-se contribuir para uma gestão adequada aos interesses dos usuários. Trata-se de uma pesquisa descritivo-explanatória, desenvolvida por meio de estudo de caso.

The process of setting up the library of the Graduate Studies in the Business Administration Program at UFSC is described and analyzed. The intervening factors in this process and in the choice of titles and operational structures are determined. The aim is to provide elements for an adequate, customer-oriented management. The research is carried out through a descriptive-exploratory methodology developed through a case study.

B16 – A pesquisa nos cursos de Ciências Contábeis

A pesquisa é uma atividade que requer disponibilidade e envolvimento. Ao ser utilizada como recurso metodológico, no âmbito do ensino da contabilidade, a partir de uma concepção de educação e de sociedade, contribui para a construção social dos sujeitos e do conhecimento. A monografia, ao incorporar os critérios metodológicos para a sua elaboração, resulta na sistematização e comunicação de pesquisas realizadas na graduação em Ciências Contábeis, possibilita a inserção do aluno em diferentes programas de iniciação científica e oferece alternativa

Research is an activity that requires readiness and involvement. When used as a methodological resource, in the sphere of the teaching of Accounting, imbued with a conception of education and society, it contributes to the social construction of its undertakers and to knowledge. The monograph, as it assimilates the methodological ingredients inherent in its elaboration, results in the systematization and spreading of the researches accomplished in the undergraduate Accounting Sciences course. It also makes possible the acceptance of students by different programs of scientific initiation and offers alternatives of continuous education.

B17 – Escolhas estratégicas em setor regulamentado: O serviço de compensação de cheques e outros papéis no sistema de pagamentos brasileiro.

Este artigo tem a finalidade de estudar como as estratégias são formuladas e implementadas em uma organização situada em um setor altamente regulado e com forte determinismo ambiental. Também analisa o relacionamento com os stakeholders e as vantagens resultantes da boa integração entre a organização, agente regulador e clientes, cuja sinergia resulta na obtenção de melhores resultados coletivos.

The purpose of this article is to study how strategies are formulated and implemented in an organization of a highly regulated sector, with a strong environmental determinism. It also analyses the relationship with the stakeholders, and the advantages of a good integration among the organization, the regulation agency and the clients, whose sinergy results in the achievement of better collective outcomes.

B18 – A comunicação na empresa: Vantagens geradas pela utilização do correio eletrônico.

A massa de informações a ser processada pelas organizações aumentou rapidamente, trazendo a necessidade de aprimorar a comunicação. Este artigo procura verificar aspectos do intercâmbio de informações dentro da organização, levantando alguns problemas existentes. Com esta idéia, busca-se analisar as mudanças e os benefícios trazidos pela implantação e uso do correio eletrônico entre os membros da empresa.

The ammount of information that needs to be processed by enterprises has rapidly increased, bringing the need of getting a better communication. This paper intends to verify characteristics of information interchange inside the interprise, bringing up some existent problems. With this thought, the search stands for an analysis of changes and benefits introduced by the adoption and utilization of electronic mail among the corporation members.

ABSTRACTS TAKEN FROM REVISTA DE ADMINISTRAÇÃO DE EMPRESAS – RAE - 2000

B19- Contexto Social e Imaginário Organizacional Moderno

Este artigo analisa algumas das mudanças que vêm ocorrendo no ambiente socioorganizacional e as respostas que as grandes empresas têm dado a elas, especialmente desenvolvendo um imaginário próprio que busca a sua legitimação como ator social central.

This article analyzes some changes happened in the social-organizational environment and the answers given them by big businesses, mainly ones related to a specific imaginary created in order to legitimate them as a central social actor.

B20 - Como sustentar o crescimento com base nos recursos e nas competências distintivas: a experiência da Illycaffè

As mudanças no jogo competitivo induzem as empresas a pôr-se em discussão e amadurecer novas competências. Um elemento relevante no caso illycaffè, líder de qualidade em café expresso, consiste na capacidade da empresa de redefinir e renovar os próprios recursos e as relações estratégicas, para perseguir simultaneamente os objetivos de qualidade de produto e de inovação do processo produtivo. As redes de relações e os investimentos em P&D permitem crescimento rápido e maior eficácia nas "manobras estratégicas" da empresa.

Deep changes in the competitive game are inducing companies to discuss and to create new competencies. An emerging element of this case study, focusing Illycaffé, quality world-wide leader in the espresso coffee market, is the company's skill to redefine and to renew its resources, in order to achieve its goals in terms of product's quality and processes' inovation. The network of relationships and the R&D investments are allowing quick growth and effective strategic deployment of the company.

B21 - Modelos de Avaliação de Marca

As marcas emergem progressivamente como uma dimensão central e um ativo estratégico na ação das organizações. Neste sentido, a avaliação do desempenho das marcas assume uma grande importância para a sua gestão. Adicionalmente, tornam-se necessários o desenvolvimento e a articulação de um vocabulário comum. Perante a multiplicidade de conceitos e modelos de avaliação, são contrastadas e sintetizadas as abordagens acadêmicas e empresariais dominantes.

Brands are emerging as a central dimension and a strategic asset in an organization's strategy. In this context, evaluating a brand's performance assumes a pivotal role for its effective management. Furthermore, the development and articulation of a common vocabulary become increasingly necessary. Considering the diversity in models and concepts, this paper develops a synthesis of dominant academic and practitioner approaches on brand evaluation.

B22 - Globalização e Crise do Estado Nacional

A pesquisa analisa a crise do Estado Nacional no contexto da ordem mundial pós-Guerra Fria, enfatizando o fortalecimento de instâncias de poder supranacionais e infranacionais que estão solapando a autonomia dos Estados. Tais transformações na esfera política estão vinculadas ao processo geral de globalização.

The research studies the National State crisis in the context of the post-Cold War world. The research points out that this crisis is mainly related to the strength of new global institutions and the emergency of subnational organizations, both weakening the National State power and sovereignty. These changes are linked to the globalization process.

B23 - Understanding Local Governance: an international perspective

Grandes mudanças e inovações estão ocorrendo nas práticas governamentais no mundo todo. Governança local, particularmente, tem sido uma preocupação em muitos países. Processos como redemocratização e descentralização e imposições das agências internacionais têm se concentrado no desenvolvimento de boas práticas de governança. Melhoria em governança local permance uma alta prioridade na maior parte dos países, mas, a menos que a relação entre cidadãos e governo seja mais desenvolvida completamente, as ações do governo local não levarão, necessariamente, à melhoria nas condições de vida das pessoas. Este artigo explora o conceito de governança e propõe um instrumento analítico para o estudo de governança local em um contexto internacional. Ele termina apresentando recomendações sobre as estratégias para melhorar os sistemas de governança o e desempenho governamental.

Enormous change and innovation in governmental practices are occurring throughout the world. Local governance, in particular, has become a concern in many countries. Processes such as redemocratization and decentralization and imperatives of international lending agencies have focused attention on developing good governance practices. Improvement in local government remains a high priority in most countries, but unless the relationship between citizens and government is more fully developed the actions of local government will not necessarily lead to improvement in the conditions of people's lives. This paper will explore the concept of governance and propose an analytical framework for the study of local governance in an international context. The article concludes with recommendations on strategies to improve governance systems and government performance.

B24 - Simulação de Técnicas de Engenharia de Reservatórios: exemplo de utilização de opções reais.

Este trabalho teve como objetivo incluir flexibilidade gerencial (tais como técnicas de recuperação complementar de óleo) na avaliação de reservatórios. Concluímos que essas técnicas podem aumentar o valor dos reservatórios em até 25% segundo a teoria de opções reais. A principal vantagem da metodologia de teoria de opções em relação à tradicional técnica de fluxo de caixa descontado é levar em conta as questões operacionais da indústria do petróleo. Utilizamos dois modelos clássicos para a precificação de reservatórios de petróleo e aplicamos uma análise de sensibilidade para determinar quais fatores são mais relevantes no seu valor econômico . Como era de se esperar, em ambos os modelos,o tempo de concessão e a taxa de convenience e/ou dividend yield foram os fatores mais importantes

This paper analyzes the managerial flexibility embedded in oil reserves (such as gas and water injection techniques). We have concluded that these techniques can increase the value of oil reserves by up to 25% according to the theory of real options. The main advantage of the real options approach over the discounted cash-flow approach is to include the operational issues in the oil and gas industry. We have used two classical models to assess the value of oil reserves. We have also performed sensitivity analysis to confirm that both concession time and convenience and/or dividend yields are the most important factors.

B25 - Sistemas de gerenciamento ambiental, tecnologia limpa e consumidor verde: a delicada relação empresa-meio ambiente no ecocapitalismo.

O texto sustenta o argumento de que a ISSO 14000 não resolverá a complexa problemática ambiental brasileira. Postulamos aqui que a sua incorporação na empresa não representa ainda uma mudança paradigmática em direção à sustentabilidade, mas sim uma mudança da cultura empresarial provocada mais pelas transformações político-econômicas mundiais do que por uma possível conscientização ambiental. Apesar de a tecnologia limpa ser apontada como a maior vantagem competitiva contemporânea no atual cenário de desregulamentação governamental, seu alcance ainda é limitado devido à sua intrínseca dependência da demanda de um significativo mercado verde.

The text supports the argument that ISSO 14000 will not solve the complex problems of Brazilian environment. It is postulated that its incorporation in business does not yet represent a paradigmatic change in the direction of sustainability, rather representing a change in the business culture caused more by the changes in the world political economy than by a possible environmental consciousness. In spite of the clean technology appearing to be the greatest contemporary competitive advantage in the actual scenario of governmental deregulation, its reach is still limited to its intrinsic dependence on the demand of a significante green market.

B26- Controvérsias acerca do sistema de custos ABC

Em vista do modismo em analisar e implantar nas empresas o Sistema de Custos ABC, reforçado pelas organizações internacionais de consultoria, o artigo traz a controvérsia que persiste na literatura especializada. A maior acurácia embutida no custeio ABC, principal premissa dos seus proponentes, é questionada por seus opositores alegando que nem sempre leva às melhores decisões empresariais. Pesquisa sobre utilização de sistemas de custos nas empresas mostra seu uso não generalizado e sinaliza sua maior adequação em situações específicas.

In view of the modism in the analysis and implementation of ABC Cost System in companies, supported by international consulting organizations, the paper brings the controversy found in the specialized literature. Its opponents, arguing that it does not lead always to better business decisions, question the ABC superior accuracy, main assumption of its proponents. A survey about utilization of cost systems by companies shows it is not used in a generalized form and signs its better adequacy in specific situations.

B27 - Qualidade na indústria agroalimentar: situação atual e perspectivas.

O objetivo principal do trabalho é identificar e discutir o estado atual da gestão da qualidade em empresas participantes de seis cadeias agroalimentares: bebidas (cerveja e refrigerante), biscoitos, carne bovina, chocolate, conservas de tomate e derivados do leite. Por tratar-se de estudo exploratório, foi adotado o método de pesquisa qualitativa de multicasos, envolvendo um total de 34 empresas. De modo geral, observou-se que, embora as empresas se encontrasse em diferentes estágios de gestão da qualidade, prevaleceram os enfoques em inspeção da qualidade e controle do processo, com ações de qualidade fortemente atreladas às exigências dos serviços governamentais de inspeção e de vigilância sanitária, com ênfase nos aspectos de sanidade do produto. Entretanto, existem indícios, ainda que localizados, de ações em direção a enfoques mais evoluídos, tais como sistemas de garantia da qualidade e gestão da qualidade total.

This paper aims to discuss quality management in six Brazilian agrifood chains: beverages (beer and soft drinks), biscuit, meat, chocolate, processed tomato and diary. This work is a multi-case exploratory study among 34 firms in those agrifood chains. In a general sense, the firms studied are very different in terms of quality management. The control of the products or raw material for inspection, with special attention to satisfy the governmental health rules, is the most common situation. However, there are strong evidences that this general situation is changing. Several firms are going to employ more advanced systems in quality management (total quality management and quality assurance system).

B28 - Gestão ambiental proativa

As empresas industriais que procuram manter-se competitivas ou mesmo sobreviver e se ajustar a um ambiente de negócios turbulento e imprevisível percebem cada vez mais que, diante das questões ambientais, são exigidas novas posturas, num processo de renovação contínua, seja na maneira de operar seus negócios, seja em suas organizações. Nesse sentido, as empresas industrias estão desenvolvendo novas formas de lidar com os problemas ambientais. Mediante mecanismos de auto-regulação ou por meio de uma gestão ambiental proativa.

Industrial companies that look for a competitive advantage or to even survive and to adjust to a turbulent and unforeseeable business environment realize that they need to increasingly strike new attitudes related to environmental problems. These new attitudes include a continuous changing process on the manner to manage their business in the organizations. Thus, some industrial companies are developing new ways to deal with the environmental problems through auto-regulation mechanisms or proactive environmental management.

B29 - Alocação de recursos financeiros em projetos de risco na exploração de petróleo.

As recentes mudanças no setor petrolífero implicam um novo ambiente de exploração de intensa competição no Brasil. As tendências de internacionalização da exploração obrigam as empresas a adotarem técnicas padronizadas de avaliação e comparação de prospectos visando à redução do risco. Dentro dessa perspectiva, os indivíduos necessitam de um processo decisório que contemple os objetivos da empresa, as metas desejadas e as restrições orçamentárias. Este artigo descreve um sistema teórico e prático de suporte à tomada de decisão baseada na teoria da utilidade e da análise da decisão, com o objetivo de estimar a melhor alocação de capital em uma bacia sedimentar. Além disso, esse sistema possibilita estimar o melhor nível de participação financeira de uma firma em um projeto de exploração de petróleo realizado em parceria.

With the new changes in the petroleum sector in Brazil, the exploration will enter in an increasingly competitive and risky business environment. The trends of internationalization of exploration and risk reducing recommend the use of standardized techniques of evaluation and comparison of plays and prospects. Under these circumstances, managers have a growing need to employ better and more systematic decision-processes that explicitly embody the firm's objectives, desired goals, and resource constraints. In order to spread risk in major projects, oil companies will continue to engage in joint ventures. This paper describes a theoretical and practical system for decision support based upon the expected utility theory and decision analysis, in order to estimate the best capital allocation and to define the best level of financial participation of a firm in the new ventures in petroleum exploration project.

B30 - A competitividade das empresas do setor de embalagens para alimentos: um estudo de caso.

A competitividade é o desafio atual da indústria brasileira. Identificar os fatores que determinam a competitividade de uma indústria e as estratégias que devem ser perseguidas é um dos objetivos básicos dos administradores industriais. O presente estudo constitui uma contribuição para a compreensão dos fatores competitivos de quatro indústrias pertencentes a uma cadeia produtiva do setor de embalagens para alimentos. Os resultados obtidos indicaram que os fatores competitivos mudaram ao longo da cadeia e que alguns ajustes são necessários para que as empresas pesquisadas se mantenham competitivas.

Competitivity is one of the Brazilian industrial challenges at the end of this century. The identification of the factors that contribute to keep an industry competitive is one of the basic objectives managers should aim at. This study was carried out with four enterprises from the food packaging industry and intended to understand some of the key competitive factors of these enterprises. The research showed that these factors differ along the chain, and some adjustments are necessary in order to keep these enterprises competitive.

B31 - As empresas são grandes coleções de processos

A idéia de processo tem estado presente nos textos e nas discussões sobre Administração de Empresas nos últimos anos. É praticamente impossível evitar temas como redesenho de processos, organização por processos e gestão por processos. Essa idéia, no entanto, não é nova e tem raízes na tradição da engenharia industrial e no estudo dos sistemas sociotécnicos. Embora muito presente, o conceito de processo não tem uma interpretação única, e a variedade de significados encontrados tem gerado inúmeros mal-entendidos. Este artigo propõe-se a facilitar a compreensão do assunto, oferecendo um quadro organizado de definições e aplicações para o conceito de processo empresarial.

The idea of process has been present in most texts and discussions on business and management in the last year. It is almost impossible to avoid subjects like process re-design, process-centered organizations and process management. This idea, however, is not new and has its origins in the industrial engineering tradition and in the studies on sociotechnical systems. Although very common, the concept of process has not a unique interpretation, and the variety of meanings that can be found has generated many misunderstandings. This article intends to facilitate the comprehension of the subject, offering an organized framework of definitions and applications for the concept of business process.

B32 – Organizações de simbolismo intensivo

Este ensaio introduz o conceito de organização de simbolismo intensivo, um novo tipo ideal em estudos organizacionais. Na virada do milênio, as organizações estão se transformando em "reinos mágicos", em que o "espaço simbólico" é ocupado pela retórica, pelo uso de metáforas e pela manipulação dos significados. As organizações de simbolismo intensivo são caracterizadas por um ambiente organizacional em que: a) a liderança simbólica constitui estilo gerencial; b) líderes e liderados aplicam maciçamente técnicas de gerenciamento da impressão; c) inovações são tratadas como eventos dramáticos; e d) analistas simbólicos formam um grupo importante dentro da força de trabalho. A emergência das organizações de simbolismo intensivo constitui fenômeno associado à teatralização da experiência humana e à consolidação da "sociedade do espetáculo".

This essay introduces the concept of symbol intensive organization, a new ideal type in organization studies. Approaching the new millennium, organizations become "magical kingdoms", where the "symbolic space" is filled with symbol manipulation and rhetoric. Symbol intensive organizations are environments where: a) symbolc leadership is predominant as managerial style; b) both leaders and led apply impression management techniques; c) managerial innovation is treated as a dramaturgical event; and d) symbolic analysts are prevalent within the work force. The emergence of symbol intensive organizations as a phenomenon can be associated to the "theatricalization" of contemporary human experience and to the consolidation of the "society of spectacle".

B33 – Enxugamento de pessoal no Brasil: podem-se atenuar seus efeitos em empresa e indivíduo?

O estudo aqui exposto sumariza uma pesquisa empírica qualitativa, de natureza exploratória, cuja meta é ilustrar empiricamente como certos fatores (moderadores – variáveis independentes) sob controle da organização podem mediar os efeitos (variáveis dependentes) de enxugamentos na empresa, nos remanescentes e nos demitidos. O método do estudo foi baseado na análise comparativa em profundidade de um painel de quatro empresas no Brasil que conduziram processos de enxugamentos de pessoal nos últimos anos e inclui o levantamento e a comparação estruturada de dados com a direção de cada empresa, sindicatos, líderes comunitários, demitidos e remanescentes.

This paper summarizes an empirical qualitative study, exploratory in nature, which seeks to empirically illustrate how certain factors (moderators – independent variables) under the organization's discretion can mediate the effects (dependent variables) of layoffs, on the organization itself, on dismissed personnel and on survivors. The study's method consisted of an in-depth comparative analysis of a 4-case panel, composed of firms that conducted major layoffs in Brazil in the last few years; the study included data gathered (through detailed interviews) from each firm's management, union representatives, community leaders, dismissed personnel and survivors, as well the structured comparison of such data across the cases in the panel.

B34 – Linking customer satisfaction, quality, and strategic planning.

Ao reconhecer e analisar minuciosamente os papéis interligados da satisfação do cliente, da qualidade e do planejamento estratégico, este artigo fornece uma base analítica para criação de uma cultura e uma organização orientadas para o cliente. Ele mostra como a qualidade começa e termina no cliente. As empresas que estão obtendo melhorias contínuas a longo prazo em qualidade voltada para a satisfação do cliente possuem características persistentes, tais como orientação para o cliente, percepção e participação interativa do cliente. Dessa forma, elas libertam o conceito de qualidade do produto ou do foco no serviço para abranger a total conformidade às exigências do cliente apesar da funcionalização e departamentalização existentes de estruturas complexas modernas. Além desses componentes-chave, uma organização orientada para o cliente requer a edificação e manutenção de um sistema de valor e cultura de satisfação do cliente que torna a melhoria da qualidade e a relação intensificada visando à satisfação do cliente aspectos permanentes da vida organizacional.

By acknowledging and dissecting the interconnected roles of customer satisfaction, quality, and strategic planning, this paper provides an analytical framework for creating a customer-driven organization and culture. It shows how quality starts and ends with the customer. Companies that are achieving long-term continuous improvement in quality tailored to customer satisfaction possess lasting characteristics such as customer orientation, customer consciousness, and customer responsiveness. In doing so, they liberate the quality concept from the narrow product or service focus to encompass total conformance to customer requirements in spite of the existing functionalization and departmentalization of modern complex structures. In addition to these key components, a customer-driven organization demands building and nurturing a customer satisfaction culture and value system that makes quality improvement and heightened concern for customer satisfaction a permanent aspect of organzational life.

ABSTRACTS TAKEN FROM " REVISTA DE ADMINISTRAÇÃO" PUBLISHED BY UNIVERSIDADE DE SÃO PAULO - USP

B35 –Empreendedorismo: empreendedores e proprietários-gerentes de pequenos negócios

Neste texto é apresentado um resumo de pesquisa sobre empreendedores e proprietários-gerentes. Primeiramente, são introduzidos os pioneiros no campo, Cantilon, Say e Schumpeter, e mencionadas as contribuições de alguns outros economistas, incluindo Knight, Hayek, Penrose e Casson. Em seguida são descritas as contribuições de comportamentalistas, com ênfase especial em McClelland. Na seqüência são discutidas as características mais comumente atribuídas aos empreendedores. A partir de 1980, o campo do empreendedorismo transpôs fronteiras e tem sido explorado por quase todas as disciplinas da área de ciências humanas. Assim, algumas tipologias mais estudadas no empreendedorismo são apresentadas e o autor propõe uma tipologia de proprietários-gerentes de pequenos negócios. Várias tendências teóricas são também discutidas, sendo sugerida uma definição do termo empreendedor. Finalmente algumas reflexões sobre direções futuras na área são apresentadas.

This text presents a summary of the researchon entrepreneurs and owner-managers. First, it introduces the pioneers of the field: Cantillon, Say and Schumpeter. The contributions of a number of other economist, including, Knight, Hayek, Penrose, Kirzner and Casson are mentioned. It then describes the contributions of the behaviourists, with special emphasis on McClelland. The characteristics most of the attributed to entrepreneurs are discussed. From the 1980s onwards, the field of entrepreneurship exploded and was appropriated by almost all the soft science disciplines. Some of the most commonly studied typologies in entrepreneurship are introduced. And a typology of small business owner-managers is proposed by the author in an appendix. A number of theoretical trends are discussed. A definition of the entrepreneur is suggested and the text also contains some reflections on future directions in the field.

B36 –Licitações públicas no Brasil: explorando o conceito de ineficiência por desenho

Neste artigo discute-se a eficiência das transações entre os setores público e privado sob a ótica da Nova Economia Institucional. Especificamente, são investigadas as compras públicas de alimentos por meio da licitação, instrumento criado para possibilitar o acesso de todos os interessados em contratar com o setor público e promover a competição entre fornecedores, resultando, assim, na melhor utilização dos recursos públicos. Os escândalos envolvendo o desvio desses recursos nas licitações, reportados constantemente pela imprensa, constituem evidencias de ineficiência na utilização dos mesmos. Essas evidencias foram corroboradas pelos resultados dos testes empíricos, que compararam os preços dos alimentos adquiridos pelo setor público com os respectivos preços praticados no mercado. Mostra-se que a ineficiência não decorre da forma de governançada transação, isto é, se via mercado ou via contratual, mas sim do ambiente institucional em que ela decorre. A ausência de órgãos de controle independentes em um ambiente caracterizado por incerteza e assimetria de informações leva as falhas na aplicação da legislação, permitindo a proliferação de práticas oportunistas. Conclui-se que a reforma da legislação não é o mecanismo adequado para resolver o problema de oportunismo na licitações públicas, mas sim a reformulação das instituições publicas no que tange às suas funções de monitoramento de controle.

This article discusses efficiency in commercial transactions between private and public sectors using the New Institutional Economics as a theoretical framework. Public purchase of food is investigated under procurement law, which was created to promote justice and efficiency in the public resource allocation. Reported corruption in public procurement is an evidence of inefficiency in government purchase of goods. Empirical tests comparing prices of goods sold to the governmented with market prices did not refute the evidence. Our findings suggest that inefficiency in public procuremented is not a result of the governance structure of the transaction but rather originated in the institutional environment under which public purchase takes place. The absence of independent monitoring structures in the presence of information asymmetry and uncertainty led to a failure in law enforcement, thus allowing opportunistic behavior. This article states that law reform is not the appropriate way to cope with oportunism in public procurement. Rather, monitoring and control functions of public institutions must be enhanced.

B37 –Crédito e planos econômicos

Neste artigo tem-se por objetivo analisar a utilização, pelo governo, da política de crédito nos diversos planos econômicos, como forma de orientar os gestores das áreas de crédito de empresas e bancos na formulação de suas estratégias. Como metodologia, utilizou-se a comparação estatística do comportamento das vendas a prazo nos períodos que antecederam e sucederam cada plano econômico, concluindo-se que os diversos planos inverteram a tendência anterior a cada um e, portanto, utilizaram-se da política de crédito.

This article analyses the use of credit policies by Brazilian government during heterodox economic plans as na orientation to firm and bank management. The article compares the behavior of credit sales before and after each plan, concluding that after heterodox economic plans previous credit Sales trends are inverted.

B38 – Metodologia de custeio da virtualidade: um caso prático de serviços bancários

Na pesquisa aqui apresentada são abordados os custos bancários sob o vértice da prestação de serviços eletrônicos ao cliente. Dissertações e abordagens sobre o tema de custos bancários já existem na literatura há muitos anos. No entanto, a maciça migração das atividades bancárias básicas executadas no balcão das agências para pontos de auto-atendimento, por meio de alternativas tecnológicas baseadas em tele processamento, faz surgir novos desafios às instituições financeiras. Neste estudo procura-se aprimorar os sistemas de custeio dos bancos, infiltrando-se em temas relacionados a informática, telecomunicação, capacidade e ociosidade de equipamentos e prestação de serviços, depreciação, demanda de serviços eletrônicos em horário de maior movimento e análise competitiva de custos.

This research is about eletronic self-service costs. There are many dissertations about banking costs in the literature, however the recently increase of basic activities by technological alternatives based on teleprocessing are new challenges to financial institutions. This study intends to improve banking cost treating subjects as: informactics, telecommunications, capacity of self-service equipments, depreciation, and eletronic service demand and costs competitive management.

B39 – Modelo de gestão do sistema de planejamento, programação e controle de produção

Este trabalho é proposto um Modelo de gestão do Sistema de Planejamento, Programação e Controle da Produção (PPCP), objetivando contribuir para a implantação de boas práticas de gestão em Sistemas de PPCP e suportar a manutenção e a melhoria desses sistemas quando implantados. O modelo é baseado na gestão do sistema PPCP abordado no sexto estágio da metodologia denominada MISPEM – Modelo de Integração do Sistema de PPCP à Estratégia de Manufatura (Pedroso, 1996) – e nos requisitos do Sistema de Qualidade segundo a norma ISSO 9001. a idéia principal do modelo reside na consideração de que o processo de operar, manter e melhorar tal sistema contempla atividades repetitivas. A partir dessa consideração, propõe-se nove requisitos, desdobrados em itens, como componentes do modelo.

In this article is proposed a model of manufacturing planning, scheduling and control (MPSC) management system. The proposed model aims to contribute for implementing manufacturing planning, scheduling and control best pratices and to maintain and improve the actual MPSC system of companies. This model is based on the sixth stage of a methodology called MISPEM – A Model for Integration the Manufacturing Planning, Scheduling and Control System to the Manufacturing Strategy of Companies (Pedroso, 1996) – and the ISO 9001 Quality System requirements. The main concept of the MPSC management system proposed is that the process of managing, maintaining and improving this system deals with repetitive tasks,. Regarding this assumption, the author proposes nine requirements and some following itens as the components of the model.

B40 – Improvização organizacional: do jazz para a administração

Este artigo defende-se a relevância do jazz para estudar a improvisação em contexto organizacional, não só como metáfora, mas ta,bem como fonte directa de ensinamentos. Argumenta-se que esta relevância deriva da centralidade da improvisação nessa área musical. Defende-se também que as características relacionadas como os aspectos sociais, da tarefa e do saber, inerentes ao desempenho dos grupos de jazz, quando transportadas ao contexto organizacional, permitem definir improvisação recorrendo a quatro termos-chave – acção, deliberada, extemporânea e colectiva – e encontrar os conjuntos de condições que facilitam a sua ocorrência: intenção, implementação em tempo real, infra-estrutura e imaginação.

This article argues that jazz is useful to the study improvisation in organizational settings, not only as a metaphor but also as a direct source of insights. This usefulness derives from the centrality of improvisation in this musical style. It is also argued that social, task and knowledge related characteristics os jazz performance, when transposed to an organizational context allow us to define improvisation by using four keywords – action, extemporaneous, deliberate and collective – and to find the four sets of conditions that allow it to occur: intention, real-time implementation, infrastructure and imagination.

B41 – Comprometimento no trabalho e produção científica entre pesquisadores brasileiros

No presente trabalho teve-se como objetivo investigar a existência de relações entre constructos psicológicos comprometimento organizacional e comprometimento com a carreira e a produtividade científica de pesquisadores brasileiros. Participaram do estudo 1.079 pesquisadores-doutores pertencentes a seis áreas distintas do conhecimento. Na investigação, utilizou-se um modelo teórico formado por três grupos de variáveis antecedentes (psicológicas, pessoais e funcionais) e pela variável critério produção científica. Dentre os resultados destacaram-se, um maior comprometimento com a carreira escolhida e a verificação da existência de relações entre o comprometimento organizacional e a publicação de artigos no Brasil e a formação de mestres. Constatou-se também, que os pesquisadores mais comprometidos com a carreira foram aqueles que, no período analisado (1992 a 1993), se dedicaram à publicação de livros como editores. Os melhores preditores de produtividade científica são as variáveis associadas à senioridade do pesquisador, incluindo-se aí, entre outras, a idade, o tempo de serviço e o tempo de titulação.

The aim of this study is to investigate the relationships between organizational and career commitment and scientific productivity of Brazilian researchers. The study was conducted with 1.709 PhD researchers from six disciplines. The investigation used a theoretical model formed by three groups of antecedent variables (organizational and career commitments, biographical and professional variables) and by the scientific productivity criterion variable. Larger commitment scores were obtained with the researcher's career, The regression analyses showed that there is a relationship between organizational commitment and scientific articles piblished in Brazil; there is also a relationship between organizational commitment and the advice of Master of Science students. It was also identified that the most career-committed researchers have a greater activity as book editors. Finally, it was found that the best predictors os scientific productivity are variables that are associated with the researcher's seniority, as indicated by his/her age, years at the organization and time since obtaining the PhD degree.

B42- Avaliação dos impactos de variedades transgênicas no sistema agroindustrial da soja

Existem várias experiências de sucesso na aplicação da biotecnologia, em especial nas áreas de saúde e agricultura. Um dos casos mais marcantes é o, certamente, o da chamada soja Roundup Ready (RR), resultante de pesquisas apresentando modificação genética para possibilitar a tolerância ao uso de herbicidas à base de glifosato. Os benefícios almejados com tal tecnologia enquadram-se na linha de aumento de produtividade e redução de custos pelo menor uso de defensivos e pela alocação mais eficiente do maquinário e da mão-de-obra empregados na produção de soja, simplificando e reduzindo os custos de atividades de combate a ervas. Embora neste tipo de discussão seja comum observar somente os impactos causados no segmento agrícola e as implicações para a organização da industria de insumos, pouco se tem analisado sobre os efeitos que a biotecnologia pode acarretar para o sistema agroindustrial como um todo, até os consumidores finais. Esse é justamente o objetivo nesse artigo: imprimir uma visão mais sistêmica a essa discussão. Buscou-se fazer uma revisão da literatura acerca do tema para a discussão das principais questões polêmicas envolvidas. Avaliando-se conjuntamente essas questões, parece haver mais benefícios do que custos, especialmente se se considerar que a biotecnologia já faz parte de um novo paradigma competitivo do agribussiness. Esse ponto deveria ser cuidadosamente observado por órgãos de regulamentação no Brasil que controlam a liberação de genes modificados

There are several examples about the impacts of biotechnology in the field of agriculture. Centainly, one of the strongest cases in Brazil nowadays in the gene "Round up Ready Soya", developed for the multinational company Monsanto. The modified gene gives tolerance to the soya plant related to the use of herbicides based on glyphosate, allowing a better control of some crop diseases at lower costs. Most of the benefits are based on the improvement of efficiency and cost reductions at the farm level (cost saving). This subject has been exhaustively discussed by experts in the field of biotechnology and agriculture. However, in general the debates consider only the direct impact on the agricultural segment. Additionally to this view, the main objective of this paper is to expand the discussion towards a more dynamic and systemic approach, encompassing the impacts to the soya agri-chain as a whole, including the final consumer. The analysis of the main controversial questions lead to the conclusion that there are more benefits than costs for the introduction of modified gene in the soya plant, considering also that biotechnology is already part of a new competitive paradigm in the agribusiness field at a global level. These points must be carefully observed by those institutions responsible for establishing the norms for the approval of Genetic Modified Organisms in Brazil.

B43- A decomposição do MVA (Market Value Added) na análise de valor de empresa

O Market Value Added (MVA) constitui interessante forma de analisar a expectativa de cresacimento do valor de uma empresa. Indica, um valor monetário, a expectativa de crescimento que o mercado tem em relação a determinada ação. Quanto maior este valor, melhor é o desempenho esperado da empresa no que diz respeito ao aumento de valor do investimento feito pelo acionista, o mais importante objetivo financeiro das empresas. Pode ser calculado da seguinte maneira: Valor de mercado – Capital investido – ajustes. A metodologia de calculo do MVA ainda está em estágio de aperfeiçoamento e discussão, cabendo uma abordagem que permita análise qualitativa do indicador. Por conter elementos outros além dos resultados operacionais futuros descontados, recomenda-se, neste artigo, desdobrar as possíveis fontes que compõe o MVA, as quais podem consistir em valores obtidos nas demonstrações contábeis (empréstimos e/ou investimentos no mercado financeiro) e mesmo valores não incluídos nas referidas demonstrações.

At the moment Market Value Added (MVA) is one of the most interesting tools which allows company value increase analysis. It captures the market value raise expectation related to a specific stock. The more is this value (MVA), higher performance is expected from the entity and, consequently, better return from the stockholder, which means the value company raise, the main goal for the management group. MVA computation is relatively simply: market value less capital invested and adjustments. The MVA methodology is still in improvement stage and its qualitative evaluation is still in process. As it capture more than operational ingredients and, essentially fature perception discounted to present value, the author of this paper recommends details of MVA sources which may be found in the financial statements or out of the books, depending on the origin.

B44- Sistema de informação para prescrição e distribuição de medicamentos: o caso do Hospital das Clínicas da Faculdade de Medicina de Ribeirão preto

O processo de prescrição e distribuição de medicamentos envolve as seguintes etapas: prescrição (médico), requisição (enfermagem), separação e dispensação (farmácia central), conferência e aplicação (enfermagem). No Hospital das Clínicas da Faculdade de Medicina de Ribeirão Preto da Universidade de São Paulo, uma das maiores instituições médicas da América Latina, este processo estava concentrado e era feito manualmente, sendo inevitável a ocorrência de gargalos. Preocupava, também, a transcrição da prescrição para a requisição de medicamentos, forte gerador de erros. Para contornar esses problemas, foi planejado e implementado um sistema de informação. Todas as etapas da construção desse sistema estão detalhadas neste artigo, em que se procura subsidiar, com um caso real, as pesquisas sobre o desenvolvimento de sistemas no Setor da Saúde.

The process of prescription and distribution of medications involves the following stages: prescription (doctor), requisition (nursing), separation and distribution of medications (central pharmacy), conference and application (nursing). In the Hospital das Clínicas da Faculdade de Medicina de Ribeirão Preto, one of Latin America's largest medical institutions, this process was concentrated and done manually, so the accurrence of constraints was unavoidable. Other worry was the transcription of the prescription to the medications requisition, a great error source. To solve these problems a information system was planned and implemented. All the stages of the building of this system are detailed in this paper, which tries to subsidize, with an actual case, the researches on systems development in the Health Sector.

B45- Sistemas especialistas probabilísticos e redes neurais na análise do crédito Bancário

Reconhecer e prever quais clientes serão "bons ou maus pagadores" de crédito é tarefa importante e difícil para as instituições bancárias e os serviços de proteção ao crédito. Com registros históricos de 2.855 clientes de um banco alemão, foram abordadas neste artigo, comparativamente, as técnicas de Sistemas Especialistas Probabilísticos e Redes Neurais, ambas da área de Inteligência Artificial, utilizando o SPIRIT e o MatLab-Neural Networks Toolbox. Essas técnicas permitem o reconhecimento de padrões e, também, a sua utilização em diagnósticos posteriores. Feito o reconhecimento de determinado cliente e obtida a sua conseqüente probabilidade de retorno do credito, estudou-se, ainda, com base nas taxas de juros adotadas , no valor do crédito a ser concedido, no prazo para pagamento e nas demais taxas bancárias, a relação risco/retorno para o banco, apontando os casos em que o crédito deve ser concedido.

Recognising and foreeing which credit customers will be "good or bad payers" is an important and difficult task to banking institutions and to credit protection services. With 2.855 historical registers of a German bank, we studied, in this work, the Probabilistic Expert Systems and Neural Networks techniques, both in the Artificial Intelligence area, comparatively, using the shell SPIRIT and MatLab-Neural Networks Toolbox. These techniques allow us to recognize patterns as well as their further use in later evaluations. The evaluation of a given customer and the probability of the payment of a loan leads to a risk/payment rate for the bank, based upon interest rates, loan amount, payment period and other fees, establishing a safe criteria to determine when to concede credit.

B46 – Cooperação universidade-empresa um desafio gerencial complexo

Neste artigo analisa-se a cooperação empresa-universidade sob a ótica de gestão. Quatro desafios destacados: compartilhamento de uma visão multidimensional e integrada da cooperação empresa-universidade centrada no desenvolvimento de competências humanas: percepção clara das missões distintas, mas complementares, da empresa e da universidade no processo de inovação; desenvolvimento de respostas inovativas às diversas necessidades de cooperação; e capacitação para a gestão eficaz da interface entre empresa e universidade.

The article analyses industry-university cooperation from the managerial perspective. It highlights four challenges: sharing a multi-dimensional and integrated vision of industry-university cooperation, centered on the development of human competence; clear perception of the distinct, albeit complementary missions of industry and university in the innovation process; development of innovative responses to the diverse demands for cooperation; and training for effectiveness in the management of the company-university interface.

B47 – A cooperação da universidade moderna com o setor empresarial

O artigo esta focado na relação universidade-empresa, que se inicia com a formação de quadros profissionais, mas tem seu ápice e o seu núcleo-chave no ensino de pós- graduação. É nesse nível que se afirmam as vocações científicas e se constrói a base humana dos grandes programas de pesquisa. São descritas as diretrizes mais recentes da pós – graduação na Universidade de São Paulo, especialmente aquelas que visão à cooperação interinstitucional entre universidades. É comentada a liderança da instituição de projetos de impacto cientifico, social e econômico a partir de recente levantamento feito pela Fapesp. É feito, também, um balanço da contribuição das universidades públicas ao desenvolvimento tecnológico industrial, demonstrando os obstáculos a serem vencidos para uma integração mais equilibrada entre empresas e universidades.

The article focuses on the university-company relationship, which begins with the formation of professional codres, and culminates in graduate studies. It is on that level that scientific vocations are affirmed and the human base of important research programs is built. The most recent guidelines of the graduate courses at the University of Sao Paulo are described, especially those that seek inter-institutional cooperation between universities. The leadership of the institution in projects with scientific, social and economic impact is addressed, based on recent data from Fapesp. The article also balances the contribution of the public universities with industrial technological development, demonstrating the obstacles to be overcome in order to achieve better integration between companies and universities.

B48- Por uma relação mutuamente proveitosa entre universidade de pesquisa e empresas

As relações entre a universidade e o setor produtivo estão sendo construídas muito lentamente no Brasil. As barreiras que retardam o diálogo residem, em parte, em concepções preexistentes que pouco se adequam à realidade de empresas e universidades e menos ainda às relações sociais e atuais necessidades no Brasil. A criação de ciência e tecnologia, no Brasil, é feira essencialmente na universidade pública e a inovação, no mundo todo, na empresa. A clara definição de missões e o respeito pela especificidade podem fazer de universidades de pesquisa e empresas de portes diversos parceiros estratégicos. As relações entre a instituição universitária e a organização empresarial requerem, acima de tudo, o reconhecimento de vantagens mútuas e o respeito estrito pelas diferenças. As condições hoje no Brasil exigem o diálogo, desde que esse é um dos elementos centrais para o desenvolvimento do País.

The relationships between universities and the productive sector are being built very slowly in Brazil. The bottlenecks that delay the dialog reside, in part, in pre-existing conceptions that are not connected to the present reality of enterprises and universities and are even less related to the social relationship and present Brazilian needs. Local science and technology are created, essentially, in public universities while , across the world, innovation is developed in the enterprises. Clear mission definition and respect for specificity can make research universities and differently sized enterprises strategic partners. The relationship between the university institution and the business organization require, above all, the recognition of mutual advantages and a strict respect for the differences. Present conditions in Brazil demand the dialog, since a university-productive sector relationship is one of the central elements for the country's development.

B49 – A visão empresarial da cooperação com a universidade

Neste artigo, apresenta-se uma série de propostas para projetos de cooperação universidade-empresa de interesse do empresário brasileiro, baseadas em documentos da Federação das Industrias do estado de São Paulo (Fiesp) e em proposta de política para o Ministério do Desenvolvimento. As propostas visam inserir a universidade nos programas de aumento da competitividade industrial e desenvolvimento sustentado de exportações, criação de tecnologias brasileiras de classe mundial, aumento da competitividade sistêmica do País, atração de investimentos internacionais de tecnologia de ponta, criação de clusters e de empresas de base tecnológica. A quebra de paradigmas oferecida pela Internet II coloca em destaque as atuais oportunidades.

In this paper are presented a series of proposals for university-company cooperation projects, which are of interest of the Brazilian business class, based on a São Paulo State Industry Federation (FIESP) document and on the proposal for the Development Ministry policy. The proposals aim on involving the university in the programs to increase the industrial competitiveness and the sustained development of exports, the creation of Brazilian world class technologies, the increase of the country's systemic competitiveness, the attraction of high technology international investments, the creation of clusters and technological based companies. The paradigms broken by the Internet II highlight the current opportunities.

B50 – A proteção do conhecimento na universidade

Neste trabalho são discutidos os diferentes aspectos relativos ao tema da propriedade intelectual no contexto da universidade, principalmente a pública. O foco de análise é o dilema entre a divulgação e a proteção do conhecimento em áreas de forte impacto social, como Saúde Pública, Saneamento Básico e Meio Ambiente, e a conseqüente apropriação desse conhecimento por empresas e/ou instituições sem fins lucrativos. São apresentados, também, alguns dos resultados obtidos em pesquisa sobre o tema realizado na Universidade de São Paulo.

The purpose of the paper is to discuss the intellectual property in the context of a public university. The knowledge protection versus the publication of scientific research results becomes a dilemma especially in areas such as Public Health, Sanitation and Environmental Sciences. The paper presents some results of a research developed in the University of Sao Paulo.

B51 – Universidade corporativa: ameaça ou oportunidade para as escolas tradicionais de administração?

A proliferação de universidades corporativas, aos mesmo tempo em que abre possibilidades concretas para transformar em realidade o velho sonho de integração escola-empresa, tem gerado muita discussão e polêmica nos círculos acadêmicos. A grande questão que se coloca é: As universidades corporativas constituem ameaça ou oportunidade para escolas tradicionais de administração? A Universidade Corporativa chegará ao século XXI como o setor de maior crescimento no ensino superior. Para compreender a sua importância como novo padrão para a educação superior e como instrumento-chave de mudança cultural, é necessário compreender as forças que sustentaram o seu aparecimento: organizações flexíveis, era do conhecimento, rápida obsolescência do conhecimento, empregabilidade e educação global. Sua missão é formar e desenvolver os talentos humanos na gestão dos negócios, promovendo a gestão do conhecimento organizacional, através de um processo de aprendizagem ativa e contínua. Seu objetivo principal é o desenvolvimento e a instalação das competências consideradas essenciais para a viabilização das estratégias negociais. A emergência de universidades corporativas não significa o esvaziamento do papel das escolas tradicionais de gestão; ao contrario, as experiências mais bem-sucedidas nessa área são as de empresas que realizaram profícuas e revitalizadoras parcerias com algumas universidades ou institutos com competência para agregar o valor a programas corporativos.

The proliferation of corporate universities as well as opening of concrete possibilities to bring to reality the old dream of school-company integration, has caused a great deal of discussion and polemics in academic circles. The important question posed is: Do the corporate universities constitute a threat or an opportunity for traditional business schools? The Corporate University will rearch the 21 st Century as the largest growing sector in superior schooling. To understand its importance, both as a new standard for superior education as well as a key tool of cultural change, it is necessary to understand the forces which have given rise to its appearance, such as: flexible organizations, knowledge era, rapid knowlwdgw out-dating, employability and global education. The mission of the corporate university is to form and develop human talents in business, promoting organizational knowledge management, through a process of active and continuous learning. Its main objective is the development and installation of competencies considered essential to establish business strategies. The emergence of corporate universities does not mean reducing the role of the traditional management schools; on the contrary, the most successful experiences in this field involve companies that have set up useful and revitalizing partnerships with some universities or institutes which have the competence to add value to these corporate programs.

B52 – A Fapesp, a inovação tecnológica e a empresa

A Fundação de Amparo à Pesquisa do Estado de São Paulo (Fapesp) criou nos últimos anos dos programas de pesquisas, com características complementares, dirigidos para a inovação tecnológica: Parceria para a Inovação Tecnológica (PITE) e Programa de Inovação Tecnológica em Pequenas Empresas (PIPE). O traço comum a essas duas linhas de fomento é a participação real de empresas: no PITE, elas compartilham o risco na execução do projeto por meio do financiamento de cerca de 50% de seus custos: no PIPE, o projeto de pesquisa é desenvolvido dentro do ambiente empresarial. Neste artigo, descreve-se os pressupostos dessa ação da Fapesp, as características desses programas, os resultados já obtidos nessa fase de implantação e sua possível contribuição para a definição de parâmetros de relevância para a pesquisa tecnológica.

The Satate of São Paulo Research Foundation (FAPESP) has created two research programs aiming at technological innovation proposed by industry: Industry/ Research Institutions Partnership for Research and Development, funding research projects development in the academic environment and requiring matching funds from the industrial partner: Small Business Innovation Research: projects developed by investigators in small companies. This paper discusses the assumptions leading to the creation of these programs, their characteristics, the results already achieved in the initial years and the potential contribution of FAPESP's action towards the definition of relevance parameters in technological research.

B53 – Centros de pesquisa cooperativa

As relações entre as universidades e o setor empresarial constituem tema de grande interesse, em virtude de seu potencial de suporte ao desenvolvimento tecnológico e à capacidade de inovação das empresas. Tais relações podem assumir várias formas, desde a consultoria individual de um professor para uma empresa até a formação de estruturas especiais e complexas, como os parques tecnológicos. Neste artigo, é apresentado um arranjo organizacional específico para a interação universidade-empresa: o Centro de Pesquisa Cooperativa – estrutura autônoma, sediada em universidade, cuja operação é financiada pelo governo e por várias empresas de um mesmo setor ou de setores correlatos. As principais atividades de um centro desse tipo são a pesquisa genérica ou pré-competitiva, de interesse do conjunto das empresas, e o ensino de pós-graduação. São apresentados, também, dois programas de centros de pesquisa cooperativa, em dos Estados Unidos e outro da Austrália, focalizando seu histórico, operação, resultados e fatores de sucesso. Essa análise foi baseada em documentos e em visitas a vários centros e órgãos governamentais responsáveis pela implantação de tais programas, nos quais foram entrevistados pesquisadores e dirigentes. Já existem no Brasil algumas das motivações e dos fatores de sucesso apontados no trabalho, sugerindo que um programa brasileiro de centros de pesquisa cooperativa pode vir constituir uma iniciativa bem-sucedida, considerando-se a existência de experiências já consolidadas de cooperação universidade-empresa em diferentes setores.

The relationship between universities and industry is a theme of great interest, due to its significant potential to support technological development and the innovation capability of firms. These relations can take different forms, from an individual consulting contract between a professor and a company, to the establishment of special complex structures, like science parks. In this paper a specific organizational arrangement for industry-university interaction is presented: the Cooperative Research Centers (CRCs), which are autonomous structure, established at universities, and whose operation is supported by the government and several enterprises, belonging to one industrial sector or to related sectors. The main activities of the CRCs include pre-competitive research, of general interest, and postgraduate courses. Two Cooperative Research Centers Progams are focused – one in the United States and one in Australia, and we examine their history, operation, results and success factors. This analysis is based on documents and visits to some CRCs and government agencies responsible for these programs, where scientists and managers were interviewed. Some of the motivational and success factors pointed out in the paper already exist in Brazil, which may suggest that a Brazilian CRC Program would be a well succeeded inatiative, if we consider the various past and present experiences in Industry-University cooperation, in different sectors.

B54 – Disque-Tecnologia da Universidade de Sao Paulo

Tendo por base o relato da criação e da operação do Disque-Tecnologia da Universidade de São Peulo, sistema de atendimento a demandas tecnológicas, especialmente de micro e pequenas empresas, busca-se refletir sobre as possibilidades de utilização da informação como matéria-prima para a construção do conhecimento. Propõe-se uma nova maneira de olhar as demandas das pequenas empresas, visando `a criação de mecanismos de identificação dos reais interesses e necessidades dos pequenos empresários. Alguns exemplos são apresentados para ilustrar a construção do conhecimento a partir desses interesses e na exata medida das necessidades e capacidades de cada pessoa, em um processo mais ágil que o formal.

Based upon the report of the creation and operation of University of São Paulo's Disque Tecnologia (Call-Technology), a technological demand answer system, especially for micro and small companies, this paper brings a reflection about the possibilities of the use of information as an input for knowledge construction. A new way of looking at the demands of the small companies is proposed, aiming at the creation of mechanisms to identify the real interests and needs of small companies' managers. Some examples are presented to illustrate the knowledge construction starting from their interests and taylored to the needs and capacities of each individual, in a more agile process than the formal one.