



## **Research Yearbook 2015-2016**

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## INTRODUCTION

This yearbook provides summaries of the research that is carried out by FGV-EASP professors and researchers.

All the work was funded by *GVpesquisa*, our support area for research activities, in four categories, two of them providing individual support related to projects carried out with support from ‘over-the-counter’ and collegiate grants, and two providing collective support, related to Research Line and Study Center projects.

The texts offer an overview of the contribution that FGV-EAESP’s researchers make to the development of administration in Brazil. They also provide ideas for the construction of a research agenda for now and in the future.

This yearbook also contains special material relating to social impact cases, which are based on projects and activities carried out in FGV-EAESP’s Study Centers. The cases were written by Dafne Oliveira Carlos de Moraes and coordinated by myself, as the editor. These cases are just a sample of the diversity of topics and forms of impact that the knowledge that is developed by the Centers can generate.

The research summaries were prepared by the authors themselves and edited by Adriana Wilner. Graphic design was by designer Cris Tassi, while Daniela Mansour M da Silveira, from the *GVpesquisa* team, had overall responsibility for coordinating the project.

We hope this yearbook achieves its objectives of spreading the knowledge generated by FGV-EAESP and serving as a bridge between readers and authors.

Warmest academic greetings,

**Thomaz Wood Jr.**

Coordinator – *GVpesquisa*



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# Social impact cases





# A gathering of women entrepreneurs: *GVcenn* and *NEOP* in the 10,000 women program

Dafne Oliveira Carlos de Moraes

In 2008, international finance group, Goldman Sachs, set up its 10,000 Women Program. The idea behind the initiative was to provide courses in management, mentoring and consultancy for 10,000 women entrepreneurs from emerging countries. The bank chose academic partners in all those countries in which the program was introduced. FGV-EAESP was one of the partners in Brazil, through the activities of its Entrepreneurship and New Business Center (*GVcenn*) and the Study Nucleus in Organizations and People (*NEOP*). More than 400 women took part in the 12 groups offered at FGV-EAESP. The impact caused was substantial: the businesses run by those participating improved and a network of women entrepreneurs was built up that promotes mutual support between members. The program entered a new phase in 2015 and started focusing on business expansion. FGV-EAESP was chosen as one of the five partners in the world to continue with this new stage. *GVcenn* and *NEOP* are accordingly preparing to start forming the 13th group of women entrepreneurs.

## The first national meeting of women students

In 2008 Goldman Sachs Bank established the objective of offering free education in business management to women from all over the world. This initiative was called “10,000 Women” and mobilized the various academic partners that would be responsible for carrying it out; FGV-EAESP was invited to work as one of them.

Professors Tales Andreassi and Maria José Tonelli, leaders of *GVcenn* and *NEOP*, respectively, are coordinating the initiative. In October 2015 they held the First National Meeting of 10,000 Women Students. The event at FGV-EAESP brought together around 150 former students and was attended by important people, such as Paula Moreira, the Director of Goldman Sachs Bank, São Paulo; Adriana Rodrigues, Coordinator of the Competitiveness Division of APEX; and Adriana Carvalho, the UN’s representative.

The meeting was marked by an atmosphere of welcome and support. The program created a network of women entrepreneurs who help each other, exchange experiences and provide details of what they have learned, replicate what was taught and share the successes in their communities, all of which results in an incalculable multiplying effect of improvements.

In 2015 the Bank launched a new phase, creating the first global line of credit that is exclusively for women and introducing a new course to guide them in expanding their businesses. *GVcenn* and *NEOP* are still program partners in Brazil.

## The 10,000 Women Program

The program that was devised by Goldman Sachs Bank was created in 2008 to make it feasible to train 10,000 women in business management. The bank outlined a specific profile for the initiative: participants should be entrepreneurs, leaders in small and medium-size companies based in emerging economies and who, because of financial or circumstantial difficulties, found it impossible to obtain an adequate education in business.

This audience, which underwent a painstaking selection process, was offered courses in business management in teaching institutions that are considered to be excellent and had access to mentors and support from contact networks. This occurred through the establishment of academic partnerships around the world: the Goldman Sachs Foundation, which is linked to the Bank, funded the courses and the academic partners supplied them, offering the necessary structure and quality.

The objective of the program was based on research that indicated investment in women entrepreneurs as a key-aspect of the growth of the economy and improvements in community well-being, particularly in developing countries. The objective to enroll 10,000 students was reached between 2008 and 2013 and the final groups were finalized in 2014.

The course offered 180 hours of classroom-based activities in a period that could vary between five weeks and six months, according to the distribution of hours adopted by the academic partner. The lessons included the disciplines of Accounting and Finance; Marketing; Strategy; Operations Management; Technology for Competitive Advantage; Human Resources and Organizational Aspects; the Business Plan; Personal Effectiveness and Leadership; and Entrepreneurship.

The students were periodically monitored and supplied information about their business and how it was managed. These data were analyzed by Babson College and by the Goldman Sachs Foundation. Data taken from the initiative shows that the revenue of the businesses of some 70% of the women entrepreneurs grew significantly, at an average increase of 480% in the 18-month period after the program ended. In the same time interval 58% of the participants increased the number of jobs on offer in their companies. On average, the number of employees doubled and vacancies were generally filled by people from the local community. When the responses collected before and after the courses were compared, it was found that:

- three times as many entrepreneurs had an up-to-date business plan;
- more than 20% reported they were using no type of formal financial statements before the course, while six months after graduating 95% had started to use them;
- the number of entrepreneurs who said they felt more confident in taking difficult decisions grew by 23%;
- the number of women entrepreneurs who consider themselves capable of conducting negotiations grew by 21%;
- around 85% of the students said that networking with their colleagues had helped their businesses grow;
- 90% of the entrepreneurs said they had spread the content they acquired and had acted as a mentor for eight women, on average, in their communities,
- 20% of the women entrepreneurs said they had assumed positions of leadership in community groups.

These were just some of the benefits that the 10,000 Women Program provided women entrepreneurs with in 43 countries with the help of a network of 90 partner schools.

## FGV-EAESP as an academic partner

More than 30 of the main business schools in the world were partners in the 10,000 Women Program. FGV-EAESP was invited by the Institute of Companies of Madrid. The invitation was extended to the school when the program was being devised: Goldman Sachs Bank proposed that schools from developed countries should establish partnerships with schools from emerging countries. FGV-EAESP and the Institute of Companies were the first of all the global partners to come up with the course design. This experience led to the discovery of an important characteristic of the profile of those most indicated to attend the program: women who are already entrepreneurs, regardless of their age. This attribute was in line with the attribute already defined by Goldman Sachs: poor women, who did not have the wherewithal to pay for a business course.

Participants were carefully selected. In the beginning, those responsible for the program from Goldman Sachs had personally taken part in the selection process. As the program developed, however, the choice of participants no longer required the presence of the Bank's representatives.

Since 2008 12 groups have undertaken the course at FGV-EAESP, including experimental groups. Every semester the women entrepreneurs evaluate the lessons and this has helped improve the course. The number of theoretical lessons was reduced, the support of

consultants who are specialists in small business was introduced, as were visits to companies, and mentoring groups were set up. The program was developed at a time of economic growth in Brazil, which is why the women entrepreneurs who frequented the program had some of the biggest rates of improvement of all the schools that took part. Some cases were exceptional.

## Success cases

Women entrepreneurs doing business in a wide variety of segments took part in the 12 groups that were organized by FGV-EAESP, including architecture, the beauty and fashion business, sports, industry and technology (see table below).

### Segments and some of the companies of the women entrepreneurs who were trained

SEGMENTS	COMPANIES	
<b>Architecture</b>	Mônica Raposo Arquitetura e Interiores	Cia Verde Arquitetura Paisagística
<b>Food</b>	Jasmim Rosa Café Restaurante	Trivial Gastronomia
<b>Beauty</b>	Feitiços Aromáticos	Espaço 90 Graus
<b>Gifts</b>	Empório Coralina	Cor-Arte
<b>Commerce</b>	AudioLivro editora	Acrílico Eficaz
<b>Communication</b>	Rede Mulher Empreendedora	Ludwings -Agência de Propaganda
<b>Consultancy</b>	MAP Assessoria Contábil Empresarial	Raízes Desenvolvimento Sustentável
<b>Education</b>	Pires e Lima Cursos Livres e Reforço	Treina Soluções Empresariais
<b>Sports</b>	Asser Esportes Aquáticos	OGZ
<b>Events</b>	Café Eventos	Ping Pong Cultural
<b>Industry</b>	FAG Brasil	Sukets Bandeiras
<b>Internet</b>	Socialle	Connectro Soluções em Internet Ltda
<b>Fashion</b>	Meio Ambiente Modas	Espaço Sofia Flor
<b>Landscape gardening</b>	Native Garden Design	Plantae – Jardins
<b>Stationary</b>	Royal Book Livraria e Papelaria	
<b>Presents</b>	Vince - Ateliê do Papel	São Mimos
<b>Publicity</b>	Isee Comunicação	Ponto Publicidade
<b>Health</b>	Clínica Vitalidade Integrada	Espaço Integração
<b>Services</b>	Espaço Emagrecer Franchising	Frida Projetos Culturais
<b>Technology</b>	Aliança Brasil Informática	Easy Concept
<b>Tourism</b>	Aventura no Rancho	Campus Brasil Turismo e Intercâmbio

Source: 10,000 Women website

Some 430 women in all took part in the program in Brazil. Coordinator Tales Andreassi pointed out some of the most remarkable of the many success stories, like those of Raquel Cruz, Gislene Viana and Ana Fontes.

Registered with her company, *Feitiços Aromáticos* [Aromatic Spells], Raquel Cruz was a student in the fourth group. Her small cosmetics industry started operations in 2001 and since then she has been producing and selling aromatherapy products. Raquel found out about the 10,000 Women Program by way of a consultant from *Sebrae*, but at the time she had no idea what the program would provide her with.

What the program provided her with was new knowledge, which led to her setting up a second company. “The access to theory was very interesting; it threw a different light on things. The strategy and marketing lessons were what made me reflect most and had the biggest direct impact on the business”, says Raquel. “In strategy we discussed the resource-based view and I clearly identified that my company had a portfolio of customers for Brazilian natural products that could be much better exploited, particularly with the World Cup and Olympic Games coming to Brazil. So we set up a new brand: *BrasilAromáticos*”.

During the marketing part of the course the entrepreneur noted that a series of internal quality and sustainability practices were not being duly communicated to customers or to the media. “I saw that we took a lot of care, but that this wasn’t evident to others, which led me to reflect on changing. We were always a naturally responsible company, concerned with environmental and social issues in production, but we were still not recognized for this aspect”.

After improving the way in which the company provided evidence of its practices it won various awards: in 2011 it was indicated by the Chico Mendes International Socio-Environmental Institute as one of the best companies making sustainable products in Brazil; in 2014 it was elected in the 1<sup>st</sup> *Premio IstoÉ Empresas + Conscientes* [IstoÉ magazine’s Most Conscientious Companies Award], as the most conscientious small company in Brazil. It is still competing for other awards.

Raquel perceives how much she benefited from the interaction with other women entrepreneurs: “I did business with other women on the program and even today I take part in meetings that are arranged not only within our group, but between groups. [...] It was as a result of these contacts that I was indicated to present a line of aromas and fragrances to General Motors. If I’d not had the access that came from the lessons I’d never have had the opportunity to claim the status of being a GM-licensed brand”.

Gislene Viana, a student from the 10th group, also had her successes that were stimulated as a result of her participation in the program. As the owner of FAG Brasil, a company that custom-adapts vehicles, she recalls that her business changed direction after the lessons: “FAG is eight years old, but when I joined the course it was on the verge of closing. During the subjects I noticed various problems: in Human Resources I saw I was doing everything wrong; in Negotiation and in Finance I found many points to improve on; and in Marketing, I learned about positioning, which was vital for stopping working with a series of products that were not profitable or where competition was very tough. [...] That was when I focused on ‘business on wheels. Later I became the pioneering company working with the food-truck concept”. Gislene says that the combination of a promising market context at the time, the knowledge she acquired during the lessons and the consultancy support made available to her were crucial for her achieving the success she did.

Another consequence of the program was her interest in maintaining the continuous learning process. “Before the program, it seemed as if I was living in prehistoric times, enclosed in a box. After the course the world opened up and I started to be more alert. I don’t spend more than six months without studying, without learning something new in the market, without attending a talk or taking part in a workshop”.

Gislene was not only interested in acquiring knowledge; she also started becoming mobilized to transmit it to others. Her business started adding services that were similar to those of a consultancy company. “I ended up embracing the cause of helping entrepreneurs with their dream of having their own business and giving them support in some of the conception points of the company.” She says that this began when she noted that many of her customers came with money they had received after being dismissed from previous jobs, like *FGTS* [compulsory redundancy pay], to invest in an undertaking. They were looking to adapt a vehicle to put together a “business on wheels”, like a mobile restaurant, but they had not done any planning. “So I began providing them with support on some of the points: from buying the vehicle most indicated for adapting to what product they could sell, or the best target-public for them. We even made a pamphlet to help the customer obtain the special permit they needed for the vehicle. I also noticed that I could charge for a consultancy service, but I look at this more as our differential in the market. Nowadays, even the government health surveillance agency indicates us because our food-trucks are all produced and sold in accordance with the rules and regulations”.

Reports about FAG Brasil have already been published in newspapers, specialist magazines and on television and it is seeking to expand its business: “I’m looking for another building because we can’t get anything more in ours. Our orders are enormous and the feedback we get from customers is getting better all the time”, says Gislene.

Ana Fontes was another student who trod the path of success, but in a peculiar way. The entrepreneur was approved for the third group when she was heading up her own business, *Elogie Aqui*, a website that recommends products, services and professionals. During the lessons, however, she completely changed her operation: she wound up the company and opened two new businesses.

A falling-out with one of her partners and a new management perspective were the root causes of the reasons that determined what happened: “The lessons opened my mind up to matters I didn’t understand as being important when running a business. It was a great shock to me, for example, to learn about the business model and perceive that I didn’t have one. In fact, I didn’t know how I was earning money!” With the help of a consultancy service supplied by the program, Ana changed her professional direction to two new businesses.

The first originated from her unease when she noticed the significant number of candidates in the 10,000 Women selection process for the few places that were available. So she devised a body for providing support for women entrepreneurs that could help a larger number of participants. In 2010 she set up the Women Entrepreneurs’ Network (*RME*).

*RME* is an on-line platform that offers services for uniting and supporting women entrepreneurs as they develop their business. Making free registration available, each entrepreneur who wants to take part can publish a profile for their business, access news and tips and take an active part in discussion forums. In November 2015, the *RME* website had more than 36,000 women entrepreneurs registered on it, its Facebook page had more than 180,000 followers and the debate groups mobilized more than 20,000 members.

Ana says that the initiative she put together partly replicates the model of the Goldman

Sachs program, but in a more open way and with fewer resources: “We don’t have a selection process; what we’re trying to do is offer content and information via the network to the biggest possible number of women entrepreneurs. We make available a space for collective help and we promote networking events, all in a collaborative way”.

The entrepreneur also created a co-working space, called Natheia. For a monthly payment that is less than a conventional rent, the undertaking offers collective offices, with meeting rooms, reception support and electronic equipment, in which different people can share the same physical space. Natheia also publishes information about the businesses that are affiliated to it on an entrepreneurs’ network and provides access to more than 20,000 contacts, including indications of potential partners and suppliers.

## New phase

A consequence of the success of the initiative was the continuing involvement of FGV-EAESP in the new phase that the Bank is proposing to develop. Andreassi says that after reaching 10,000 women worldwide the program continued with a new proposition, but in just five countries: Egypt, China, India, Kenya and Brazil.

After achieving its objective of training women on a global scale, Goldman Sachs developed a new means of increasing its commitment to women entrepreneurs. In partnership with the International Finance Corporation (IFC), the Bank launched a new program: the Women Entrepreneurs Opportunity Facility.

The initiative has set aside a US\$ 600 million line of credit that is exclusively for women, which is a first with this format, in order to provide 100,000 women with access to capital. The concern with providing credit to women entrepreneurs emerged from studies carried out jointly by the Bank and Babson College, a business school that specializes in entrepreneurship.

The studies indicated that women entrepreneurs had little access to financing because of technical or even psychological difficulties. They face difficulties when it comes to understanding the bureaucratic process of financing or a loan. They also feel insecure, for example, when talking to bank managers. These barriers manifested themselves in critical situations, such as in cases of women entrepreneurs who preferred to give up on their business altogether, rather than assume debt, or who considered not expanding their companies if they had to take a loan.

It was decided, therefore, to make improvements in credit supply and demand: on the one hand, to show to the banking community the opportunity that the segment of women with small and medium-size businesses represents, and on the other to promote new educational initiatives for women who are dealing with raising funds externally. So a new phase in the program emerged with a new training model for a new profile of female entrepreneur. As coordinator Tonelli explains: “In 2014 we were working with the last group of 10,000 Women when we found out about this second phase. It would be very different from the first in various dimensions: in the program design, which, even though it was supported by many activities that we had already developed, was being carried out by Babson College; in the special teaching methodologies; and in its focus on bigger businesses with growth potential”.

In April 2015, with two other members of the program, Tonelli went to Babson College to get to know the new phase of the program. Marcus Salusse, a Business Administration PhD student at FGV-EAESP, went with her. The student works for *GVcenn* as a project coordinator and has been helping with 10,000 Women since 2014, and is even a professor on the Program.



Salusse says that the development of the new syllabus, even though it was guided by the North American college, made it possible to add the peculiarities of each of the five countries in the new phase: “In the case of Brazil we have mainly the financing process aspect, or the specificities of our credit rates. Including these characteristics ensures that each woman raises the funds that are really important to her, but that this doesn’t generate any financial difficulties for her afterwards”.

In order to transmit this new knowledge, which is aimed at business expansion, the syllabus subjects were altered. In the first phase the subjects were more traditional, like Finance, Strategy and Human Resources. The new stage has modules with different approaches, such as Self-knowledge and the Figures of Your Business; Scenario Analysis and Financing; and Actions for Growth (see table below).

### Program content of lessons for Group 13

MODULES	NUMBER OF HOURS
Orientation	8 hrs
Self-knowledge and the figures of your business	8 hrs
Your current business approach	8 hrs
Identifying opportunities	8 hrs
Market variability, vision & organizational culture	8 hrs
Analyzing financial statements and management	8 hrs
Marketing strategies	8 hrs
Assessing opportunities & negotiation I	8 hrs
Scenario analysis and financing	8 hrs
Operations and processes	8 hrs
The importance of people & negotiation II	8 hrs
Pricing and financing clinic	8 hrs
Actions for growth	8 hrs
	104 hrs

Source: 10,000 Women website

These new subjects made room for new methods, generally with approaches aimed at practical applications, like the “invisible theory”. Salusse explains that the invisible theory suggests that theoretical concepts are not explicitly transmitted: “The idea is to mix and match. We haven’t stopped using traditional methodologies, but they’re aimed at applied questions, without dealing with complex concepts”. This involves an understanding of “learning while doing” and the use of more practical exercises. These processes are used as the basis for discussing theory and the points of view of the students. The women entrepreneurs who are supported in these activities will be advised to develop growth plans for their business, ready to apply in their internal management and in raising funds externally.

FGV-EASP will once again be the first academic partner to put into practice the new lesson scope. As Tonelli informs: “We revised all the material, we launched the new group and we’re going to test the new methodology. We’re also going to keep a close eye on the cultural differences between the countries in order to contribute on the basis of this first experience”.

## Social impact

Having been closely involved with the program since it started in 2008, Tonelli and Andreassi emphasize the initiative’s social impacts, in other words, the benefits to the academic community and to society as a whole that are provided by the incorporation of knowledge and social practices.

The professor believes that the first point that stands out is how important it is that FGV-EAESP makes its knowledge available to those women who, generally speaking, would not be able to attend the institution’s own courses. The women entrepreneurs are genuinely interested in spreading the knowledge they acquire to their communities, which takes it to places that would not be benefited were it not for this initiative. On average the knowledge learned is shared with



eight other women. In the particular case of Ana Fontes, after her participation in the program she mobilized a network that has around 200,000 participants.

Another central point has to do with the framework that the experience provides the women with: “The course changes the lives of the women and the relationship between the way they were before and after the lessons is visible and very intense. It completely changes the careers of some of them. They arrange partnerships, they do business deals and they open new businesses”, says Andreassi. The statistics for Brazil also indicate an average percentage in the growth of revenue of 115% and job growth of 43%, both analyzed for a period of six months after completing the course. Andreassi also indicates the impact the program has had on FGV-EAESP and the professors involved: “A series of changes in teaching methodologies was unleashed, which added new knowledge to both the institution and the professors”.

Generally speaking, the action of the Studies Centers in the program generated economic and social benefits, some of which have already been realized and others, in potential, that will materialize in the future. In terms of economic benefit, the program led to: improvements in the productivity of small and medium-size business in Brazil; a contribution to economic growth and to wealth creation; and improvements in the competence base of the women entrepreneurs. Some of the businesses also became more innovative.

In terms of social benefit the groups held in FGV-EAESP led to: improvements in the way these women entrepreneurs act professionally, since they now feel more secure and able to manage their businesses; an increase in job offers in the local community where the undertakings are located; the spreading of knowledge to other women in the communities; and influence in the debate about issues of equality and strengthening the position of women in the world of business.

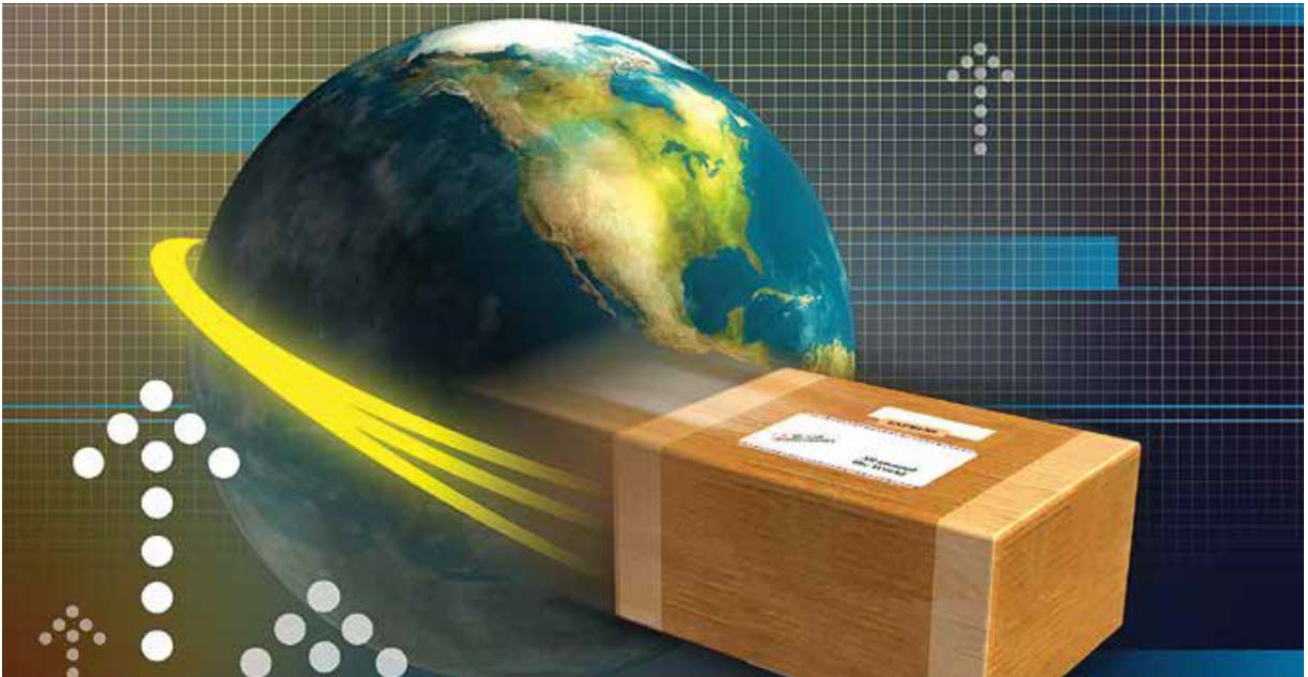
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# The competitiveness of Brazilian exports: *GVcelog* and *CNI* work together to help companies overcome challenges

Dafne Oliveira Carlos de Morais

Combining methodological strictness and practical application, FGV-EAESP'S Center of Excellence in Logistics and Supply Chain (*GVcelog*) undertook a survey in a partnership with the National Confederation of Industry (*CNI*). At the beginning of 2016, the two institutions finalized the first round of a study that identified the challenges that Brazilian companies face when exporting. It is intended to repeat the survey every year and so map out the evolution of those factors that impeded the growth of Brazilian exports. With this monitoring it is planned to prepare a competitiveness index of Brazilian exports and guide actions for improving public policies and business practice.

## The importance of exports

Brazil is responsible for just 1% of the goods exported in the world. While the country's share in international trade is disturbingly low, the economic situation in 2016 can drive growth. The domestic crisis and increase in the value of the US dollar are factors that make exporting attractive for many companies. To export, however, they need to overcome a series of challenges.

Perceiving the importance of this activity to the country's economy, *GVcelog* started studying the competitiveness of Brazilian exports. It carried out an initial survey between 2006 and 2008 to identify the reasons that prevent export growth in the country. The study was repeated in 2015 and expanded, when a partnership was established with the *CNI*, an institution that represents Brazilian industry and defends and articulates its interests vis-a-vis the Executive, Legislative and Judicial branches of government.

*GVcelog* and the *CNI* now intend mapping out the barriers to export growth on an annual basis, by creating a competitiveness index for Brazilian exports. In doing so they will be able to suggest improvement actions by way of both public policies and actions with private enterprise.

## The origin of *GVcelog*

*GVcelog* started its activities in June 2005, when it was coordinated by Professor Manoel Reis from FGV-EAESP's Department of Production Administration and Industrial Operations. The center was set up to work with issues relating to logistics and supply chain administration, in an attempt to contribute towards increasing the performance of Brazilian companies. To do so it started developing activities in the areas of research, training and knowledge dissemination.

A survey that Reis undertook before *GVcelog* was ever set up was revisited to make up the first analyses that the Center carried out. In its initial, 1999 version, the "Study of the Global Competitiveness of Brazilian Companies in the Time Dimension" was carried out in a partnership with Claude Machline, an FGV-EAESP professor *emeritus*.

The study evaluated the impact of export bottlenecks on the time spent on activities in the logistics chain. The survey consulted a group of 177 companies and classified the bottlenecks according to the importance attributed to their impact. It was possible to see, for example, that the Brazilian export time-cycle affected the operational cost, the financial cost, the growth in exports and even the growth in market share.

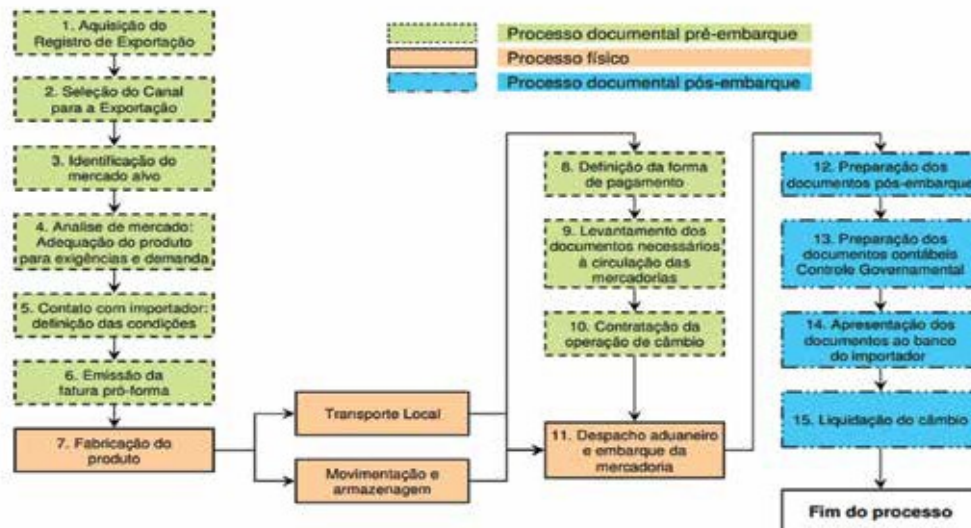
This investigation entered a new phase in 2006, when it was already linked *GVcelog*. With its broader focus, the study received a new title, "Brazilian Export Competitiveness", and continued with its objective to assess the impact that all the bottlenecks had on the competitiveness of Brazilian exports. The work was divided into two phases: the first, which ended in January 2007, aimed at obtaining more in-depth knowledge of the export process in the country and at developing a specific methodology for applying the survey; and the second, which was finalized in August 2008, aimed at collecting information from companies and analyzing it.

Reis coordinated the project with Machline. Juliana Bonomi, who was then doing a Master's at FGV-EAESP, coordinated the first stage activities and continued as a researcher in the second stage. Other researchers helped develop the study: Luís Caetano Sampaio, then a Master's student, worked in the first phase; Marina Souza, then a graduate student, took part in both phases; and Alexandre Pignanelli, then a PhD student, coordinated the second phase activities. The objective was to repeat the survey every two years, which would make it possible build up a database with an historic series.

## Brazilian export competitiveness – Phase 1

To understand the factors that might make the export activities of Brazilian companies difficult, the team from *GVcelog* identified the main aspects of the export process in the country. As a result of this information being systematized the researchers designed the 15 steps of the Brazilian export process (see figure below).

### Export process



Source: Phase 1 final report – Brazilian export competitiveness.

The necessary documents and government organs involved were indicated for each step. The research also clarified important aspects of the export process, such as: export types; payment methods; forms of financing; foreign exchange transactions; logistics aspects; administrative aspects; special customs regimes; and tax aspects.

Analysis of the export process led to a bibliographic review based on Brazilian and international studies. This review resulted nine factors emerging that have an impact on export performance, as listed in the following table.

### Factors that have an Impact on export performance

FACTORS	DESCRIPTION
Macroeconomic	Include items related to: monetary policy; purchasing power; GDP; balance of payments; exchange rates; inflation and trade agreements; international transportation tariffs and foreign trade promotion policies.
Marketing	Companies have to check the attractiveness of the market and decide the appropriate marketing strategy for it. They identify entry barriers, the presence of substitute goods, supplier/buyer bargaining power and level of domestic competition.
Idiosyncratic	Organizations by definition have their own characteristics and functions. These resources and routines are heterogeneous and the source of performance. They are related to exclusive, internal resources that may be: physical; human; or
Logistical	Factors have to be considered that relate to secondary packaging procedures, transportation, cargo handling, warehousing and the availability of a support infrastructure for these activities.
Bureaucratic	Bureaucracy organizes behavior and performance by rules, division of labor, and hierarchies, but there may be malfunctions, such as excessive formality or conformist routines. Bottlenecks in procedures and standardization come from this group.
Legal	Laws may be dubious, superimposed and difficult to understand. They change constantly and are often not applicable to market practice. Bottlenecks in legislation that affect trade are considered here.
Tax	The power of central government, states, the Federal District and municipalities to institute and collect taxes is shared in order to decentralize power. In Brazil this generates complexity in tax collection because it allows for several different rates and asymmetries in tax management. Collection complexity or burdening exports fell into this group.
Information	The objective of information systems is to collect, process, transmit and disseminate information. They can simplify processes and should be implemented in such a way as to meet the needs of users simply. The bottlenecks of this group relate to the export process information systems.
Institutional	Institutions are forms of social organization that control the conduct of social and individual routines. The focus here is on public or private institutions in the foreign trade process that determine the means for carrying out export activities. Problems relating to lack of training, ethics or organization were considered here.

Source: Phase 2 final report – Brazilian export competitiveness.

The bibliographic research also identified four moderating variables that can alter the intensity of the nine factors that have an impact on export performance. They are: company size; the level of export experience; the segment to which the company belongs; and the types of load with which the company operates.

Based on the factors and variables, the *Gvcelog* team developed a questionnaire to be sent to Brazilian companies. The purpose behind preparing this instrument was to identify and quantify the main bottlenecks that harm export competitiveness.

The first version of the questionnaire involved 10 sessions: one for each factor and a tenth session for census questions. More than 170 bottlenecks were classified in the nine factors. The marketing factor was the one that had most bottlenecks, 26, while tax and information factors had the least number of bottlenecks, at 9 for each one.

To apply the questionnaire the researchers had access to a database of Brazilian exporters that is maintained by the *CNI*. The database contained more than 10,000 companies, which in the 2004/2005 period represented some 90% of the value of Brazilian exports.

Before applying the questionnaire the team from *GVcelog* tried to improve it. During a workshop, representatives from the export departments of 10 Brazilian companies, the president of *PROCOMEX*, a representative from the Applied Economic Research Institute and professors from FGV-EAESP tested the questionnaire, identified bottlenecks not found in the theoretical review and confirmed the relevance of the variables considered. The group also suggested reducing the size of the questionnaire, which was subsequently tested with a small number of companies, which pointed out further important bottlenecks. The replies were analyzed and used to guide the definition of the final version, which was applied in the following stage.

## Brazilian export competitiveness – Phase 2

The objective of the second phase of the research was to measure the impact of bottlenecks on Brazilian export performance. The questionnaire was sent to some 4,500 companies chosen from the original database of 10,000 companies that had been supplied by the *CNI*. *GVcelog* received 258 completed questionnaires, corresponding to a response rate of approximately 6%.

The team from *GVcelog* carried out the statistical analysis. As result, the nine main factors found in the reviews of national and international studies resulted in 11 bottlenecks that reduce the performance of Brazilian exports:

1. Lack of public incentives;
2. Difficulty in offering competitive prices;
3. Excessive taxation;
4. Lack of infrastructure;
5. Complex legislation;
6. Bureaucratic aspects;
7. Quality of the logistics supply;
8. Complexity of the documentation that is needed;
9. Performance of public information systems;
10. Difficulty in accessing financial resources;
11. Limitations of exporting companies.

The bottlenecks were then classified on four levels, according to the intensity with which they affect export performance. Three of the eleven were indicated as being extremely intense (public incentives, competitive prices and excessive taxation); three as being highly intense (lack of infrastructure, legislation and bureaucracy); four as being moderately intense (logistics supply, documentation, information systems and access to financial resources), and just one



was classified as being of low intensity (company limitation).

Each bottleneck was assessed in depth, indicating the factors that go to make them up and which factors are more or less complex to solve, whether by way of government measures or actions being taken by export companies. For example, for the first bottleneck the factors that were indicated as having to be solved by way of government policies were “the non-existence of incentive programs for suppliers of export inputs” and “difficult access to incentive policies”. Generally speaking the bottlenecks indicated as being most difficult were related to government action.

The research also indicated that for most of the bottlenecks any improvement actions could equally benefit all company profiles. In some cases, however, the moderating variables operate in a discriminating way. For example, the effect of the complexity of the legislation may be influenced by the size of the company and access to financial resources can vary depending on the volume exported, the type of cargo and company size.

## Partnership with the CNI

In 2015 Professor Priscila Miguel took over as coordinator of *GVcelog* and encouraged the study into the competitiveness of Brazilian exports to be taken up again. Bonomi says that at the time a fundamental criterion for returning to the study was access to the *CNI* database in an updated version.

Maria Cecilia Azevedo, Administrative Manager of *GVcelog*, got in touch with the confederation to enquire about the possibility of once more having access to its Catalogue of Export Companies. The result of the contact led to the establishment of a partnership between *GVcelog* and the *CNI*. “I explained about the research to justify our need to have access to the database. In this process, I presented the previous studies: the questionnaire that had been prepared, the results achieved and the full reports. The director of the area who received me identified an opportunity for synergy with an internal project of theirs and indicated the area responsible”, explains the manager.

Felipe Carvalho, an analyst from *CNI*, clarifies that the opportunity was perceived due to the similarity in the studies that the institutions were already carrying out individually: “Both were looking to identify the barriers that Brazilian companies face when exporting”. Carvalho says that the challenge in the partnership would be to guarantee that the research had the means for fully meeting the academic objectives, as required by FGV-EAESP, and the objective of generating input for defending the interests of the private sector, as intended by the *CNI*.

The title of the new version of the study was updated to “Challenges to the Competitiveness of Brazilian Exports” and was conducted by Bonomi and Pignanelli, for *GVcelog*, and a team of economists for the *CNI*.

As well as the title, other aspects were adjusted in order to be able to adapt to the work being done in partnership. The questionnaire prepared by *GVcelog* was adapted. “There really is a partnership relationship, in which all phases in the survey are jointly constructed and validated, the aim being to serve the interests of both institutions, from definition of the scope of the survey, construction of the questionnaire to be applied, the way of approaching the public, definition of the sample of participating companies to application of the survey”, explains Carvalho.

With the database updated to include almost 15,000 export companies and the new effort to obtain respondents, more than 1,100 questionnaires were replied to in the survey. This return

ensured greater statistical reliability and stratification of the results by region and size.

So in its new version – the third from *GVcelog* and the first in the partnership with the *CNI* – the survey will analyze the challenges indicated by the companies, linking them to the five regions in the country and to different sizes. The figure below shows the distribution of the respondent companies by region.

### Respondent companies stratified by region



Source: Partial report: Phase 3 – Competitiveness challenges for Brazilian exports.

## Social impact

The different phases of the research carried out in *GVcelog* and the new edition in partnership with the *CNI* have the potential to generate benefits for the academic community and for society through the incorporation of the knowledge generated into government and corporate practices.

In the first phase of the study, the preparation of a complete guide to the Brazilian export process can facilitate the action of companies that are beginning to export. The 15 steps described didactically in the flow chart shown above and presented in more detail in the research report can be freely used and is available to the general public. Also in Phase 1, the systematization of the obstacles to exporting represents an academic contribution in view of the fact that most of the previous studies carried out in Brazil did not give an integrated view of the types of bottleneck that exist in the export process.

The second phase of the study developed a structured process for future studies into exporting: it prepared a methodology that can select the main bottlenecks and measure their impact on export performance. Methodological strictness and statistical sophistication were the basis of the reliable process used for establishing the partnership with the *CNI*. As Carvalho says: “A clear benefit we identified was the expertise the Studies Center has for applying surveys and producing content”.

The analyst also explains that, as a continuation of the partnership between *GVcelog* and the *CNI*, it is intended to carry out the survey on an annual basis. “The *CNI* is seeking to acquire inputs to serve as the basis of its work defending the interests of the private sector”, he says. “The annual results will be used by the *CNI* as the basis for carrying out work with the organs responsible in government and the private sector to encourage and influence the preparation

of public policies, with the aim of improving the bottlenecks identified. This will have a positive impact on the country's export competitiveness.”

Pignanelli points out that with the reduction in the margin of error of the study and its stratification by region and size, the results have the potential to influence the demand for public policies in a more assertive manner and to reduce the “Brazil cost”, which weighs heavily on exports.

In her turn, Bonomi stresses that once it has been established that the survey will be repeated every year, it will be possible to go back to the idea from the start of the studies in 2006, to build a database with a historical series of the results and to comparatively analyze the parameters over time. “We’ll be able to prepare a competitiveness index for Brazilian exports”, says the researcher. The index will be able to be used by public managers to monitor trends in the change in the Brazilian export process. It can also be used as a control measure, which in the long term will lead to improvements in the export process and expand the current volume of Brazilian industry and facilitate the inclusion of new exporters in the international market.

The partnership with the *CNI* will enable this tool to be used by organs responsible. The results of the new version of the survey will be widely divulged nationally, by way of policy papers, seminars, workshops and articles in the media, as occurred with the results of previous versions.

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# *GVsaúde* Debates: spreading knowledge and aligning social players

Dafne Oliveira Carlos de Morais

For more than 10 years the Health Planning and Management Studies Center has been organizing an event known as the *GVsaúde* Debates. Professionals and specialists are invited to the event to debate public and private health management. The debates are accompanied by professionals from the health, management and care areas. Each debate is recorded, transcribed and published in the journal, *GVsaúde Debates* [GVhealth Debates]. By the end of 2015 almost 70 debates had been held, thus consolidating the event as a space for spreading knowledge and discussing issues that are crucial to the health sector.

## From the origin to the current format

The *GVsaúde* Debates are a meeting point at which professionals can discuss issues that are relevant to their field. At each edition the event brings speakers who express their views about current issues in the public and private health sectors. The event helps form opinions and define agendas. At the same time it is an arena for developing relationships and a neutral territory for the constructive counter-positioning of ideas.

The organization of the Debates originated with the interest that Ana Maria Malik and Alexis Vargas had in discussing Brazil's health management model. According to Malik the original objective was to prepare a book. But the idea evolved and in 2005 discussion sessions were held on the topic "Public Management Alternatives in Health". The model was improved over time and the current format of monthly sessions with a variety of topics was eventually adopted. The table below shows the topics dealt with in the 21 editions of the Debates.

### Major topics in debate (Part 1)

SEMESTER	DEBATES	
1 <sup>st</sup>	<b>Public management alternatives in health</b>	
2 <sup>nd</sup>	<b>Trends in medical-hospital care in Brazil</b>	
3 <sup>rd</sup>	<b>Health value chain</b>	
	1) Strategic management of the supply chain 2) The role of suppliers in the value chain	3) Relations between providers and operators
4 <sup>th</sup>	<b>Changes in health organizations</b>	
	1) New funding models 2) New health products	3) New models for remunerating medical services
5 <sup>th</sup>	<b>Communication &amp; health management</b>	
	1) Communication in the organization 2) Communication & planning	3) Communication & corporate governance 4) Communication & Marketing
6 <sup>th</sup>	<b>Competitiveness and health organizations</b>	
	1) Competitiveness and safety 2) Competitiveness and regulation	3) Competitiveness and social responsibility 4) Competitiveness, innovation, teaching and research
7 <sup>th</sup>	<b>Public management alternatives</b>	
	1) New forms of organization in health. Are they the solution? 2) Is it possible to manage human resources in the public sector?	3) Modernizing management and support for management initiatives 4) Contracting and monitoring the results of health services
8 <sup>th</sup>	<b>Trends in health assistance</b>	
	1) Impacts of the economic crisis on health 2) Trends in the Brazilian Public Health System ( <i>SUS</i> )	3) Mergers and acquisitions in health 4) Electronic patient records and the prospects for e-health
9 <sup>th</sup>	<b>Health value chain</b>	
	1) Judicialization in health: access to products; individual and collective rights 2) Incorporating technology: assistance processes	3) Criteria for hiring people and services in the health market 4) Trends in the sale of medication

Source: *GVsaúde* web site.

## Major topics in debate (Part 2)

SEMESTER	DEBATE	
10 <sup>th</sup>	<b>Change management in health organizations</b>	
	1) Strategic management in change processes 2) People management in organizational change processes	3) Image management in change processes 4) Change in the management of public-private contracts
11 <sup>th</sup>	<b>Market costs in supplementary health</b>	
	1) The impact of the new ANS's list of procedures on the costs of health plan operators 2) The increase in health plan costs and the value of the health benefit offered by companies	3) Strategies for reducing costs in health plans: verticalization and auditing 4) Costs and the benefits of introducing performance-based payment for hospital services
12 <sup>th</sup>	<b>The challenge of the Brazilian health system</b>	
	1) National Supplementary Health Agency (ANS) 2) Heart Hospital	3) Municipal Department of Health of São Paulo 4) State Department of the Rights of the Disabled
13 <sup>th</sup>	<b>Access and regulation in the public and private sectors</b>	
	1) Legislative framework: SUS and supplementary health 2) Double door: the view of the public and private sectors	3) Regionalization and rationalization of care resources 4) Scenario for regulation and access
14 <sup>th</sup>	<b>Looking at health in Brazil in 2012</b>	
	1) How FGV views health in Brazil 2) Health in the media	3) Political view of health 4) Logistics in health: specificities and similarities with other sectors
15 <sup>th</sup>	1) Private investment trends in health: the view of banks and business consultancy firms	2) Looking at the regulatory agenda of the ANS
16 <sup>th</sup>	1) Orthoses, prostheses and special materials (OPME): a discussion about uses and abuses	2) Qualification of the operators
17 <sup>th</sup>	1) The public-private funding of health	2) Labor market for doctors in Brazil
18 <sup>th</sup>	1) Public and private health challenges in the State of São Paulo	2) Assistance prospects for the elderly population
19 <sup>th</sup>	1) Obesity and its impact on the health system	2) What are the prospects for health plan operators?
20 <sup>th</sup>	1) Accreditation of health plan operators	2) The future of medical offices
21 <sup>st</sup>	1) Judicialization in health. After all, who gains from this?	2) Classification in homogenous diagnosis groups 3) Corporate health and benefits management

Source: GVsaúde website

A critical success factor in the Debates is the choice of guests. They are frequently specialists in the subject on the agenda. For example, in the debate on judicialization in health, which is described in more detail in the next topic, the speakers were Judge João Baptista Galhardo, adviser to the president of the São Paulo Court of Appeal, and Lenir Santos,

who has a PhD in public health and is a lawyer who specializes in public management and law. The moderator was Judge Hamilton Hourneaux from the Regional Labor Court.

The rule is that each speaker has 30 minutes to put forward their arguments on the topic. After this stage the moderator opens the debate up to the audience for reporting its experiences, and for questions and comments. Any doubts are replied to by the speakers. To finalize, the moderator summarizes what was presented during the meeting and sometimes manifests their position on the subject debated.

## Debates in 2015

More than 250 people were at FGV-EAESP taking part in the *GVsaúde* Debates in 2015. Five events were organized during the year covering the following topics: Judicialization in health: After all, who gains with this? DRG – Classification in homogenous diagnosis groups; Corporate health and benefits management; Accreditation of health plan operators; and The future of medical offices (see following table).

### Debates in 2015

TOPICS	SPEAKERS	MODERATORS
Judialization in health: After all, who gains with this?	João Baptista Galhardo Júnior Court of Appeal of São Paulo Lenir Santos – <i>IDISA</i> Institute of Applied Health Law	Hamilton Hourneaux Pompeu – Judge of the Regional Labor Court
DRG – Classification in homogenous diagnosis groups	Alexandre Holthausen Campos Albert Einstein Israeli Institute of Teaching & Research André Alexandre Osmo Sírio-Libanês Hospital	Denise Schout – Doctor and partner-director of S&T Consulte Saúde
Corporate health and benefits management	Fabio Patrus Mundim Pena Superintendent of People and Quality Management, Sírio-Libanês Hospital Adriano Mattheis Londres, Executive Director of Corporate Business at Qualicorp Insurance Brokers.	Luiz Tadeu Arraes Lopes FGV-EAESP
Accreditation of health plan operators	Marcos Aurélio L. de Oliveira – Inmetro Helton Cassemiro Marcondes – Unimed/BH	João Boaventura Branco de Matos – <i>ANS</i>
The future of medical offices	Thomaz Srougi – Dr. Consulta Antônio da Silva B. Neto – Albert Einstein Hospital	Marcio Vinicius Balzan – <i>GVsaúde</i>

Source: *GVsaúde* website site

Each meeting was attended by between 50 and 60 people, on average: graduate students and former graduate students, specialization and post-graduate students; professors from FGV-EAESP and other institutions; and directors, managers and professionals from companies. Important organizations from the health sector or related to the health sector were represented, such as: Unimed, Amil, SulAmérica, Porto Seguro Saúde S.A., Allianz, Pfizer, Bayer, Deloitte, IBM, state and municipal health departments, sector regulatory agencies and public services.

For example, the speakers at the debate entitled “The future of medical offices”, which was held on June 10, 2015, were Thomaz Srougi and Antônio da Silva Basto, with Márcio Vinícius Balzan from the *GVsaúde* Advisory Committee as moderator. Srougi is the founder and CEO of the Dr. Consulta network, a group of private clinics aimed at serving economic Classes C and D. Bastos is the managing doctor of the Advanced Units of the Albert Einstein Hospital.

The debate between the two raised controversial issues. Srougi argued for a new model for clinics and pointed out the benefits of including technological and distance interaction elements in the health area, like holding consultations by video-conferencing and managing both doctors and patients with the support of cell phone apps. He believes these changes make it feasible to reduce costs and for greater access to services, particularly for the low income population. The businessman also said that medical offices as they are traditionally structured will tend to disappear and that telemedicine would be a fundamental trend in the future.

Bastos also pointed out the benefits of telemedicine, but focused on the changes that conventional medical offices should introduce to improve patient satisfaction, like a reduction in appointment waiting times and ease of access to the exams requested in consultations. He explained how the current model is not very practical and to a certain extent incompatible with contemporary lifestyle, which leads to too many patients resorting unnecessarily to the emergency service. The doctor presented a new model for consulting a doctor that is used by the Albert Einstein Hospital, the Walk-in Medical Center. The debate was attended by doctors who work in extremely busy medical offices and who are very interested in the topic.



The debate entitled “Judicialization in health: After all, who gains with this”, which was held on August 25, 2015, involved João Baptista Galhardo and Lenir Santos as debaters, and Hamilton Hourneaux as the moderator. As adviser to the President of the Court of Appeal of São Paulo, Galhardo recounted how judicialization has become a worrying phenomenon in the country. He explained that after the reintroduction of democracy, citizens



went through a period of avidly looking out for their rights. “We saw the number of law teaching institutions grow in Brazil and what law schools taught was about litigation, claiming damages and looking to the courts, which then began to receive all this demand from a society that had hitherto been repressed. However, this has reached a point at which the courts are no longer able to cope; there are almost 100 million on-going cases.”

The adviser, who is also a judge, reported his experience when hearing cases in the health area and the measures he took to seek knowledge that would foster his actions in such a delicate field. Recognizing his lack of technical knowledge for deciding issues involving medical matters, Galhardo turned to recommendations from the National Health Committee of the National Council of Justice (CNJ) and set up a technical support and mediation council.

The commission became well-known and Galhardo was appointed to work in the Court of Appeal of São Paulo, where he created the São Paulo Health Committee and the Pharmaceutical Screening Project of the Tax Courts. “This project has been functioning for almost three years now and around 80% of the demands sent to the screening center are solved by way of mediation”, he said.

Lenir Santos, as a public health doctor and a specialist in public management and law, pondered that instead of looking for ways of improving judicialization, measures need to be sought to ensure it does not intensify. She believes it is necessary to admit there are problems, such as bad management and insufficient funding for health, but that judicialization does not lead to improvements. On the contrary, turning to the judiciary to obtain medication or treatment denied by the SUS [public health system] increases the spending on health funding by even more and benefits only a minority.

The doctor pointed to the inadequacy of the health services relative to the needs of the population as being the main cause of the problem and indicated that the formulation of the right to health in Brazil has never been outlined. She also mentioned the Federal Constitution, which indicates universal and egalitarian access to health as being the right of everyone and a duty of the state, but she questioned whether the right refers to everything for everybody, since “this right has a cost and the Treasury does not have a bottomless purse”. Santos explained that it is not the case of suppressing rights, but of outlining what it is possible to provide in order to have a reasonable guarantee to health care. She calls this point a “legislative vacuum” and explains that there is no way of providing everybody with everything. It is this lack of realistic limits of what should be offered that is an encouragement to judicialization. “So an artifice that was created to promote justice in health ends up promoting more inequality than equality”, she said. As a direct consequence of this debate, the setting up of a commission in USP Medical School’s Hospital das Clínicas was speeded up, which shows the debate had a direct influence on the formulation of policies and the introduction of new practices.

## The journal

Since the beginning, registering the debates has been the focus of attention of *Gvsaúde* and was part of the project sent to the Pan-American Health Organization, with the idea of offering the content either in printed form or by electronic means free of charge to those interested. The topics discussed in each edition are recorded and transcribed. Each debater or moderator approves the transcription as far as concerns the content and the material, and

then it goes to become part of a volume of the *GVsaúde Debates Journal*. The content of the journal faithfully reproduces what was said at the events. Four debates, on average, are dealt with in each volume of the journal, which has already published 16 volumes. It is published every year and can be freely accessed on the *GVsaúde* website.

## Social impact

Organization of the *GVsaúde Debates* has generated various benefits. The arena that was created in 2005 and has been maintained ever since consolidated itself as a place in which professionals and specialists from the area can deal with controversial issues and discuss trends in health management. The debates attract participants with a variety of profiles. This audience is looking for new knowledge and the opinion of specialists. In addition, documentation of the content expounded in the debates by way of the *GVsaúde Debates Journal* enables access to the information to be made available on a broader scale.

The *GVsaúde Debates* help spread knowledge, stimulate new perspectives on the most relevant issues in the health sector, help create agendas and have an influence on decision-makers. In this way they help improve administrative practices and public policies.

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# Social responsibility: *GVcev* and disseminating practices in the Brazilian retail trade

Dafne Oliveira Carlos de Morais

Over the last 15 years the Retail Center of Excellence of EAESP (*GVcev*) has been helping strengthen social responsibility and sustainability practices in the Brazilian retail trade. The challenge of creating sustainable practice parameters for the sector was faced up to by way of mobilization, training and research. Among the initiatives of *Gvcev* that stand out are: the organization of discussion forums, courses, seminars and theme meetings; the launch of a national award; the creation of a practices database; the joint preparation of social responsibility indicators for the sector with the Ethos Institute; participation in the Action Plan for Sustainable Production and Consumption of the Ministry of the Environment; and the publication of books, essays, dissertations, theses, scientific articles, guides and manuals.

## Social and environmental responsibility in the retail trade

At the beginning of the 2000s, there was little talk about sustainability in the retail trade. “Actions were still only just beginning and basically comprised activities aimed at the domestic public and ‘marketeeing’ promotions”, says Fanny Terepins, who was then a student at FGV-EAESP and investigating how major Brazilian retail companies acted in terms of social responsibility for her PhD thesis. “Most of the companies provided a type of help but without any involvement or accountability and it was never included in the company’s strategy”, says Terepins, who is today the partner-director of GCA, a social responsibility and volunteerism consultancy company.

In a sector that is as diverse as the retail trade, the challenge of creating and adopting coherent social responsibility and sustainability practices was enormous. On the other hand, there was a very strong external stimulus for companies to have a policy related to the subject. As Fanny’s thesis points out, retailers took the lead as central elements for the development of a more sustainable economy because of their reach and because of their direct contact with the community, and therefore, because of their proximity for establishing strong ties between employees, customers, NGOs and public institutions for the purpose of forming partnerships.

How then could the retail sector be urged to recognize and take advantage of its intrinsic qualities and develop sustainable retail operations? *Gvcev* played a fundamental role in this process, drawing the sector together and stimulating it.

### First steps

The course taken by *Gvcev* as it moved towards the program that is currently called “Sustainable Retail – Social Responsibility and Sustainability in the Retail Trade”, involved some remarkable points of reference.

It was the large retail companies that took the initiative of seeking a partnership with FGV-EAESP for organizing events that would include social responsibility. Between 2000 and 2002, therefore, initiatives appeared like the Trends and Social Responsibility Forums in the Retail Trade and the 1<sup>st</sup> Retail Trade Social Responsibility Seminar.

With the growing importance of the inclusion of social and environmental questions in retail management, FGV-EAESP started creating actions for mobilizing, training, recognizing, generating and divulging knowledge of social responsibility and sustainability practices to companies of all sizes and from all regions in Brazil.

In 2003, the Social Responsibility in the Retail Trade Award was instituted, an event that would become the driving force behind crucial changes in the sector. Led by professors like Juracy Parente, the former coordinator of *GVcev*, and Jacques Gelman, the current coordinator, creating the award was a major challenge. As the current executive manager of *GVcev*, Luiz Macedo, explains, social and environmental actions at the time used to emerge mainly in industry and the service area. “The retail trade needed to begin to look urgently at what, at the time, was called corporate social responsibility.”

## The award

The FGV-EAESP Social Responsibility Award made it possible for people to get to know corporate social responsibility cases in the retail trade from all over Brazil. This was how GVcev was able to systematize and create action benchmarks for the sector.

In its first edition, approximately 150 projects registered for the Award and involved micro, small, medium and large companies, as well as shopping malls and retail associations and entities.

GVcev's initial effort was to show businesspeople that one-off actions could be part of a broader social and environmental strategy. "We needed to take the first steps in the direction of what retailers sometimes knew as a community project, or as a social action here and there, and to understand that this had to do with a bigger responsibility", explains Macedo.

The process of registering for the award started to become an educational method in itself. Based on regulations in the form of "scripts" (see table below), companies began to learn what might, or might not be considered a corporate social responsibility action in the retail trade.

In six editions (2003, 2004, 2006, 2008, 2010 and 2012), the Award, which changed its name to the Retail Trade Social Responsibility and Sustainability Award, totaled approximately 580 projects and fostered the creation of what was called a Practices Database.

Now with a reasonable amount of background information, it is possible to perceive that those that take part in the Award undergo a learning process and feel stimulated to develop their sustainability initiatives and go into them in more depth. The winner of the first edition of the Award, the Aldeota Shopping Mall in Fortaleza, was recognized for its program that mobilized people to donate mini-libraries, which benefited some five thousand children from community schools and needy communities in the Ceará state capital. According to Magna Medeiros, marketing coordinator of the shopping mall, the award-winning initiative was the seed that grew into new actions for mobilizing local society, like the organization of free cinema sessions for children from public schools during Children's Month and visits to Father Christmas during exhibitions in the shopping mall in December.

### Examples of Social Responsibility and Sustainability Projects for registering for the Award (Part 1)

#### SUSTAINABLE MANAGEMENT

- Introducing a code of ethics;
- Corporate governance practices;
- Publishing the social balance sheet or sustainability report;
- Promoting good practices in marketing competition (eliminating exclusivity agreements with suppliers or distributors; fighting piracy, smuggling and tax evasion).

#### OWN AND THIRD PARTY EMPLOYEES

- Responsible behavior with regard to dismissals;
- Supporting the professional development of employees;
- Training employees to understand the concepts of social responsibility;
- Profit and results sharing programs and participation in decision processes;
- Policies for not hiring child labor (in other words, the company does not hire those under 16);
- Valuing diversity in the workplace and offering employment opportunities to the disabled, blacks, women, the elderly, apprentices and people with a criminal record.

Source: GVcev website.

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**Examples of Social Responsibility and Sustainability Projects for registering for the Award (Part 2)**


Another example is São Paulo's Leo Madeiras, from the construction materials business. The company initially registered its profit sharing program, and then in subsequent editions of the Award (2006 and 2008) it won. Its first award was for an extensive sustainability program in carpentry, with actions in education, training, technical help, financial support and environmental development that helped strengthen family wood-working firms. Leo Madeiras won the Sustainability Award once more for its project for setting up the School of Modern Carpentry which by 2008 had trained 2,220 businesspeople and professionals from the carpentry sector.

## The Practices database

With the purpose of bringing together best practices in social and environmental projects in the Brazilian retail trade, *GVcev* prepared a Practices database that is available on the Internet. In August 2015 this collection comprised some 390 good practices from all over the country.

The research tool, which is available for public consultation, was inaugurated in 2004. For its Practices database *GVcev* selected those experiences that could serve as a benchmark for spreading sustainable actions in the sector. So companies from segments as diverse as butchers, drug stores, jewelers, shopping malls, supermarkets and e-trade started freely accessing practices already tried and tested by similar companies, and even companies located in the same city.

It is currently possible to consult practices that have seven distinct focuses: community; consumers and customers; suppliers; government and society; the environment; the internal public (employees); and values, transparency and governance (see table below). Research can also be directed to indicate companies that either won an award or were finalists and can be used to consult the practices of all the participants that were screened by *GVcev*.

Among the practices of some of the winners, with their wide range of sizes and segments, are actions like: a health campaign for a needy community; selecting small producers as suppliers; selling sustainable products; architectural adaptations for hiring disabled people; and substituting plastic bags for permanent ecological bags.

Another initiative that involved the participation of *GVcev*, the idea of which was to establish standards and benchmarks for bringing social responsibility closer to the reality of retail companies from all over Brazil, were the social responsibility indicators for retail companies, which were prepared in a partnership with the Ethos Institute.

## The indicators

The Ethos Indicators, from the institute of the same name, was an already recognized socio-environmental management tool in Brazil, so at the end of 2004 *GVcev* proposed setting up an exclusive set of indicators for the retail trade.

The Social Responsibility Indicators in Retail Companies were launched by the Ethos Institute in 2005 in a partnership with *GVcev*. “Today a retail company has the opportunity to try the sector part that was added by this working group and to go into its peculiarities in more depth”, says Macedo. In total, 90 new indicators were added relating to the retail sector.

## The action plan and the Forum

In 2007, Brazil formally adhered to the Marrakesh Process. Linked to approval of the Johannesburg Plan from the World Summit on Sustainable Development, the Marrakesh Process was created to offer clarification of the concept of Sustainable Production and Consumption and its application. Brazil’s adherence generated the need to prepare a plan, the Action Plan for Sustainable Production and Consumption (*PPCS*).

Six topics were selected to comprise the first cycle of the *PPCS*: education for sustainable consumption; sustainable public procurement; the environmental agenda in public administration; increasing the recycling of solid waste; sustainable retail; and sustainable construction. For the Ministry of the Environment (*MMA*), the focus on sustainable retail became necessary as soon as retail began to weigh more heavily in the country’s economy – at the time of the study it represented 14% of the GDP – and also because of the contribution potential of a sector that is capable of reaching out to a significant number of consumers and the community in general.

*MMA* Ordinance No. 44, of 2008, instituted the National Sustainable Production and Consumption Managing Committee, and FGV was one of its members by way of *GVcev*. *GVcev* once more brought together and expanded the working group, which had been initially formed to build the indicators, and drafted a new discussion agenda. The Retail and Sustainable Consumption Forum was set up at this time in the debate, 2008.

The Forum was an initiative that was partly on-line and partly involved actual meetings, which discussed and went into matters of social responsibility in the retail sector in depth. Some Master’s and PhD students at FGV-EAESP also took part and carried out their dissertation and thesis research with a focus on this subject.

At the end of 2009, the result of all this interaction led to the publication of the document entitled ‘Retail and Sustainable Consumption Forum: Experiences, Debates and Challenges’, which was taken to retail companies and to the *MMA* to comprise the *PPCS* chapter. “This material develops a typology of terms and topics, an understanding about the retail trade and the value chain, a type of free pamphlet, a manual for understanding more about retail and sustainability”, says Macedo.

The first *PPCS* implementation cycle occurred between 2011 and 2014, and the final report was published in 2014. The chapter on sustainable retail in the *PPCS* encouraged the implementation of sustainability practices in the sector, including among other actions the creation of monitoring mechanisms that prove the growing saving in the use of resources and in the management of waste, particularly the use of plastic bags.

In line with this work the *MMA* launched its campaign “*Saco é um saco*” [Brazilian pun, meaning ‘Bags are a nuisance’], in a partnership with various institutions and companies. Along with other political and economic stimuli this initiative made way for the passing of the current Municipal Law 15,374 in the city of São Paulo, that was regulated in January 2015 and that establishes the use of only recyclable bags that are produced from renewable raw material.



“It’s not always possible to outline clearly and rapidly how these changes occur, but when we look again at this story we can see that it all began with our work”, says Macedo.

## Social impact

Following more than a decade of involvement with social responsibility and sustainability in the retail trade, *GVcev* has carried out a significant number of actions and published a lot of material. Its research, collaboration and intervention have resulted in a series of social impacts that are of benefit to the academic community and to society in general. Its action can be linked to three major activities: mobilization; training; and research and publication.

*GVcev* stimulated the registration of 580 projects that competed in six editions of the award and brought together some 500 players from the sector to take part in its Forum. The Forum currently has participants that represent retail companies, industries, government and non-governmental organizations, the press and specialists, all of whom get involved in work meetings and discussions on sustainability in the retail trade.

*GVcev* organized a series of seminars, talks and courses. There were large annual seminars on general topics, with editions since 2002, and one-off seminars dealing with specific subjects, such as: partnerships between retailers and suppliers, in 2005; young apprentices in the retail trade in 2006; and sustainable procurement in 2008.



With regard to the courses, a Social Responsibility and Sustainability in the Retail Trade discipline was included in FGV-EASP's Master's degree in Retail. In the on-line modality *GVcev*, in a partnership with Walmart Brasil, developed the project "Walmart and FGV: The role of each one in sustainability".

*GVcev* also developed initiatives for divulging and applying social responsibility in companies of different sizes and operating in different segments. In 2004 and 2005, the Center organized social responsibility courses in retail for micro and small companies in São Paulo, Curitiba, Rio de Janeiro and Recife. In 2005, it arranged social responsibility seminars for shopping malls. In 2007, it held training and management courses in social responsibility in the retail trade that were aimed at household appliances stores, supermarkets, bars and restaurants.

In terms of research and publications, what stands out most are the Practices database, the Indicators and other products, like books articles, surveys, theses, dissertations, essays, guides and manuals. The Practices database provides free access to 390 good practices in the sector from all over Brazil and from companies of all sizes.

Three books have been published, which were the result of many years of involvement with the program by professors and researchers from *GVcev*: 'Social Responsibility in the Retail Trade: Concepts, Strategies and Cases in Brazil', in 2004; 'Retail Trade and Social Responsibility: a Strategic View and Practices in Brazil', in 2005; 'Socially Responsible Retail', in 2007.

The 2004 book is considered to be the first in the social responsibility area specially dedicated to the Brazilian retail sector. According to Professor Juracy Parente, the book contained one of the first definitions of the term "social responsibility in retail", became a national benchmark and was included on the list of books adopted in the syllabuses of many graduate and post-graduate courses in the country.

With regard to the academic work linked to *GVcev* studies, this has included the production of theses, dissertations and specialization course final essays. These studies investigated topics such as: corporate social responsibility in the retail value chain and in large companies; challenges and opportunities for promoting sustainable consumption in the Brazilian retail trade; and green procurement strategies in supermarkets. Versions of these works have been presented in scientific congresses and published in academic journals.

An example of important research undertaken by *GVcev* was a survey that was carried out in 2008 to assess the perceptions and expectations of consumers relating to retail initiatives involving sustainability. The investigation involved the application of focus groups and encountered gaps that could serve as opportunities for action in the retail sector. These gaps pointed to contributions such as: initiatives with plastic bags and packaging, reducing waste, making sustainable options feasible at the point of sale, information on the origin of products and greater interaction with and care for the community.

As for guides and manuals, *GVcev* was involved in preparing the 'FGV-*GVcev* Practical Guide to Social Responsibility in the Retail Trade'; the 'APAS Practical Guide for Sustainable Supermarkets'; and the report of the Retail and Sustainable Consumption Forum.

The economic, social and environmental benefits generated by *Gvcev's* activities can be highlighted. Economic benefits include the encouragement given to the sector to innovate, increase its competitiveness and improve service. In social benefits the actions allowed for: a stimulus to new approaches to social issues; changes in attitudes; and influence in the debate for preparing public policies and in discussions with society in general. Finally, in terms of environmental benefits it encouraged the absorption of environmental management techniques, with a reduction in risks and environmental pollution.

In a sector that was at an extremely early stage in its understanding and implementation of social responsibility, these improvements were made feasible by a large network of partners collaborating with *GVcev*. *Gvcev's* action brought to the fore the inspiration and knowledge that were essential for disseminating social responsibility practices in the Brazilian retail trade, where it played the crucial role of bringing together and stimulating the sector.

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# An impact measure: *GVces* and a tool for calculating greenhouse gas emissions avoided

Dafne Oliveira Carlos de Morais

Set up in 2003 the Sustainability Studies Center of EAESP (*GVces*) takes the lead in important actions for promoting sustainability that are recognized in Brazil and the world. Because of its background, *GVces* was invited to be a technical partner of the *BNDES* [Brazilian Development Bank] in preparing a tool for calculating the greenhouse gas emissions that can be avoided in projects and undertakings that can mitigate climate problems. By applying this tool, the credit analysts of the *BNDES* can quickly carry out a financial and environmental analysis of the funds disbursed to the National Fund on Climate Change, which helps attract more donors to the program.

## Global warming and greenhouse gas emissions

The first decade of the 21st century was evaluated as being the hottest on the planet since monitoring of the Earth's temperature began in 1850. According to the Intergovernmental Panel on Climate Change (IPCC), greenhouse gases (GHG) are the main culprits that drive this phenomenon that is popularly called global warming.

It is not easy to reduce the pattern of these emissions. Critical sectors, like industry, transportation and energy production need to drastically change the way they operate. In this transformation there is a pressing need for one particular action: to measure the greenhouse gases that are no longer emitted due to the modification process. Without this quantification it is very difficult to manage emission targets efficiently.

Calculating this, however, is no easy matter. Recognition of this challenge and the interest in overcoming it led the *BNDES* to develop a new credit evaluation tool. The bank is responsible for administering a particular type of National Fund on Climate Change financing. The Climate Fund was set up in 2009 by the Brazilian government to support projects and developments that face up to climate issues, like those involving renewable energy sources, taking advantage of waste and using more efficient equipment. In taking this initiative in 2013 the objective of the *BNDES* was to show the public not only the amount financed, but also the result that the funds loaned had on the climate.

*GVces* was the technical partner of the *BNDES* in developing this tool. The challenge was to create a calculation method that was both technically strict and easy to apply in the day-to-day routine of taking credit decisions.

## The *BNDES* and the Climate Fund

The Climate Fund is one of the instruments of the National Policy on Climate Change (*PNMC*), which in turn represents part of the Brazilian actions as a signatory country of the United Nations Framework Convention on Climate Change (UNFCCC).

Its resources come from legal allocations, donations and other modalities provided for in law. As much as 60% of the Climate Fund's resources come from the National Oil Fund; it can also receive international fund injections. The Fund supports projects and studies and finances undertakings that aim to mitigate climate change and facilitate adaptation to its effects.

There are two different financing modalities: non-reimbursable and reimbursable, with a manager assuming responsibility for each modality. In the case of the former the manager is the Ministry of the Environment (*MMA*) and the manager of the latter is the *BNDES*.

The reimbursable modality seeks to encourage more efficient investments from the perspective of climate change and provides more attractive financing conditions that include longer terms and lower rates than normally available in the market. The investments can be used for different purposes, like introducing a cycle-lane infrastructure, or projects for generating electricity using wind power, etc. The following categories were created to organize the use of the funds: urban mobility; sustainable cities and climate change; efficient machinery and equipment; renewable energy; solid waste; charcoal; combating desertification; native forests; carbon management and services; and innovative projects. All are detailed in the following table.

**Climate Fund sub-programs****URBAN MOBILITY**

Aimed at projects that help reduce greenhouse gas emissions and local pollutants in urban public passenger transportation and for improving urban mobility in metropolitan regions.

**SUSTAINABLE CITIES AND CLIMATE CHANGE**

Support for projects that increase the sustainability of cities, by improving their overall efficiency and reducing the consumption of energy and natural resources.

**EFFICIENT MACHINERY AND EQUIPMENT**

Directed at financing the acquisition and production of machinery and equipment that have greater indices of energy efficiency or that help reduce greenhouse gas emissions.

**RENEWABLE ENERGY**

Support for investments in the local generation and distribution of renewable energy from the use of biomass (except sugarcane), from solar radiation, from the oceans and wind power in the case of isolated systems; and investments in activities directed at the technological development of solar, ocean, wind and biomass energy sectors, and for developing the solar and ocean energy sector production chain.

**SOLID WASTE**

Support for urban cleaning rationalization and waste disposal projects, preferably by taking advantage of it to generate energy locally in one of the priority municipalities identified by the MMA.

**CHARCOAL**

Aimed at investments for improving the efficiency and sustainability of charcoal production.

**COMBATING DESERTIFICATION**

Support for combating desertification by way of projects for restoring biomes for sustainable production activities located in municipalities susceptible to desertification, as identified in the Atlas of the MMA.

**NATIVE FORESTS**

Aimed at projects associated with sustainable forest management; planting forests with native species, including the production chain; beneficiation; the consumption of forest products that have a sustainable origin; and the technological development of these activities.

**CARBON MANAGEMENT AND SERVICES**

Aimed at projects that improve the management of carbon emissions, or that actually reduce greenhouse gas emissions.

**INNOVATIVE PROJECTS**

Support for innovative projects related to undertakings that are being supported in the other sub-programs of the Climate Fund program.

Source: BNDES website.

Those interested in asking for financing have a variety of profiles. They may be: states, municipalities and the federal district; entities of indirect federal, state and municipal public administration, including public consortiums with a public association nature; and companies whose headquarters and administration are in Brazil.

As the administrator of the reimbursable amount, the *BNDES* plays the role as intermediary between the funds and those interested in asking for financing, and it stipulates the requirements. With the purpose of creating a basis for the impact of the application of these resources, which in 2015 had a budget of R\$ 560 million, the *BNDES* decided in 2013 to prepare a tool that supplied important information: the amount of GHG emissions avoided because of application of the funds. This instrument required specific knowledge that does not normally form part of the expertise of banking activities.

Partnerships made it feasible to create this tool. Martin Ingouville, an analyst from the Environment Department of the *BNDES*, explains that the funding partners of the project were the British Embassy and the Latin America Regional Climate Initiative (LARCI), entities that study climate change at the global and regional level and that have specific funds for developing projects in this area.

To be its technical partner in the project the *BNDES* indicated *GVces* to the British Embassy. According to Ingouville, FGV-EAESP's Studies Center is known for climate-related subjects, being the implementer of the GHG Protocol Brazil. "The good relationship of the *BNDES* and the British Embassy with *GVces* and previous experiences reinforced this choice", he says.

As a result of this partnership the Tool for Calculating GHG Emissions Avoided was created (see figure below).

#### Creation of the tool for calculating GHG emissions avoided



Source: *GVces*

#### *GVces* and its climate change initiatives

With more than two decades of history, *GVces* has been at the forefront of important actions for promoting sustainability that are recognized in Brazil and around the world; the methodologies for initiatives like the Corporate Sustainability Index and *Exame* magazine's Sustainability Guide were prepared by the team from the Center.

In December 2015, *GVces* managed eight programs: Innovation in Value Creation; Global Sustainability; Local Development; Performance and Transparency; Politics and Environmental Economics; Sustainable Consumption and Production; Integrated Training and Sustainable Finance.

Much of the work done by the Center focuses on climate matters. The Brazilian GHG Protocol Program, for example, took the original tool used for understanding, quantifying and administering GHG emissions and adapted it to fit the Brazilian context. It was the *GVces* that made the adjustments in 2008, with the help of its partners.

Considered to be a follow-on from this adaptation, the Companies for the Climate Platform was created in 2009 with the proposal of mobilizing and bringing together corporate leaders and making them aware of the importance of reducing and managing emissions, while additionally proposing public policies and incentives for climate change. Also as a result of the program, the first Public Register of Emissions in Brazil was launched in 2010, which publishes emission inventories.

*GVces* has also carried out studies that have been technically supporting the federal government with the issue of adapting to climate change. For example, *GVces* mapped out the academic initiatives, projects and the work of various players that have been mobilizing to face up to the adverse effects of alterations in the climate. Another study tried to diagnose, compile and systematize the main information available on the subject of adapting to climate change in Brazil.

The Studies Center also provided the technical support needed for creating the Carbon Efficient Index (*ICO2*). This is a market index, composed of the shares of companies that adopt transparent practices in emissions, which was created in 2011 by the *BM&FBovespa* and by the *BNDES*.

In order to carry out all these tasks, *GVces* worked in partnership with Brazilian and foreign, public and private entities. A relevant player in this was the British Embassy. The embassy has a Prosperity Fund that invests in climate projects. Some of the *GVces* projects, like the São Paulo Municipal Climate Change Policy, the Brazilian GHG Protocol Program and the Climate Fund's credit analysis tool, were designed and applied for funding in response to the public calls made by this fund.

## The tool preparation process

The tool for estimating the emissions avoided by projects financed by the Climate Fund started being developed in 2013 and lasted approximately two years. The first stage was to define the scope of the project. According to Fernanda Rocha, a researcher with *GVces*, there was no way of dealing with all the items that could have been financed by the Climate Fund and so the team from the Center and the team from the *BNDES* together looked at the topics that were in most demand.

The researcher emphasizes that the Studies Center and the bank assumed joint responsibility for preparing the tool. "The tool was co-created: *GVces* was the technical partner, but the *BNDES* was present the whole time. This care was seen as being essential, since the tool was to become part of the bank's internal process", she says. Ingouville has this same perception. "This close contact was fundamental for correcting deviations and coming up with a practical tool", says the analyst.



GVces developed its proposal based on recognized methodologies, most of them approved and used by the UNFCCC. In the first year, there were meetings with various departments in the *BNDES* to discuss alterations or simplification in methodologies for different categories (see table below). So the measurement of the emissions that can be avoided was improved in activities as diverse as the acquisition of transformers, the introduction of a cycle-lane infrastructure and recycling plastic packaging.

#### Methodologies that form part of the tool for calculating GHG emissions avoided

SUB-PROGRAM	METHODOLOGY	DESCRIPTION
Charcoal	CV1	Acquisition of charcoal kilns that are more energy efficient and/or the installation of equipment for collecting methane for kilns already in operation, or new
Sustainable cities	CS1	Recycling electronic waste.
	CS2	Recycling plastic packaging.
	CS3	Energy efficiency in public buildings.
	CS4	Energy efficiency in public lighting.
Combating desertification	FN1	Restoring biomes.
Renewable energy	ES1	Introducing and operating an electricity generating plant based on a solar source (photovoltaic or thermal), energy from the oceans (tides, waves and others), wind power, or hydraulic microgeneration.
Native forests	FN1	Restoring biomes.
	FN2	Planting forests with native species for timber and non-timber production.
	FN3	Deforestation avoided.
Efficient machinery and equipment	ME1	Acquiring three-phase electrical motors, pumps, motor pumps and transformers.
	ME2	Acquiring collectors, heaters and solar heating systems.
	ME3	Acquiring transformers.
	ME4	Acquiring photovoltaic cell modules, small air-generators and biogas engines.
Efficient transportation modals	TE1	Urban rail passenger transportation.
	TE2	Acquiring electric and hybrid buses, and other models with electric traction or that run on biofuel.
	TE3	Support for Bus Rapid Transit (BRTs) project modules.
	TE4	Introduction of a cycle-lane infrastructure and a bicycle rental system.
Waste used to generate energy	AE1	Collecting biogas and making use of its energy.

Source: *BNDES* report

At the end of the first year, an “alpha” tool was formulated, with a theoretical framework and the emission counts, but still not tested on real projects. This was done in the second year of work. With the tool being used in real cases, it was perceived that a series of new adjustments were needed, like improvements in content that bank analysts found difficult to understand. The “beta” tool originated from this phase and was sent for validation by the Climate Fund Managing Committee.

After its final version had been approved, *Gvces* carried out a training session with each operational area that would use the tool. “We spent two days in a meeting with sector management when we trained more than 50 technicians”, says *Fernanda*. “In addition to training, we prepared teaching material and a guide that explain the context of climate change and present data for those technicians who wanted to go into this in more depth.”

Activities ended with the Climate Finance International Seminar in February 2015. The event was attended by development banks from other countries, like the KfW from Germany and the French development agency. Climate change specialists appeared, among them José Goldemberg, the current president of the São Paulo State Research Funding Agency (*FAPESP*).

Quantification practices in different projects were shared during the event and each bank presented a tool. “The *BNDES* is the only bank that does the quantification activity internally”, says *Fernanda*. “The French development agency, for example, does something similar, but they do it externally: they hire a consultancy firm to do the calculation.”

## The tool for calculating GHG emissions avoided

Currently the tool for quantifying emissions contains 18 methodologies that are grouped in a single Excel file. The instrument was designed to serve two premises of the *BNDES*: to calculate estimates with a focus on agility and simplicity; and to design a methodology that is proper for each activity that avoids emissions.

There are two stages to using the tool. Initially the analysts input qualitative information that checks whether the project applies. The next phase involves both qualitative and quantitative data for calculating the reductions in GHGs. “The analyst adds parameters, answers qualitative questions and this already generates an emissions’ result [...] and they can get the order of magnitude of the project’s emissions”, *Fernanda* informs.

*Ingouville* stresses that the main challenge was to align the methodological requirements indicated by the Studies Center with the practicality that the bank needs. “The team from *Gvces* was looking for accuracy and technical strictness, but the *BNDES* was willing to accept a little uncertainty in the estimate if it resulted in a tool that was more easily applied”, he says. “So the *Gvces* team understood the directive and chose to add comments to the tool that made provisos as to applicability.”

Flow-charts were developed with drawings that explain where emissions happen, and this was also done with the intention of simplifying understanding and the use of the tool. In a reforestation project, for example, there are two flow-charts: one for the scenario with emissions and the other with the mitigation project, explaining at which stage the reduction would occur. “It was a way of simplifying the theoretical content”, says *Fernanda*.

Since the tool was implemented in February 2015, eleven projects have been submitted

to the Climate Fund, eight of which were evaluated with the help of the tool for calculating the emissions avoided. Of all the methodologies made available, five different ones were applied in this project. Now the *BNDES* is preparing to evaluate the first year of use of the tool and compile the total amount of emissions avoided in the projects. It will also make the tool shortly available on its website, which will ensure the transparency of the process.

## Social impact

The inclusion of *GVces* in initiatives to do with climate issues has had a significant social impact over the last few years. The benefits reached not only the academic community but also society as a whole. With regard to the tool for calculating GHG emissions avoided the relevant impacts can be identified.

The creation and implementation of the tool enable the *BNDES* to estimate the reduction in emissions before approving the credit. This measurement makes it possible to know by how much the help to be provided will contribute towards the total reduction established in the *PNMC* and, consequently, Brazil's commitment to the UNFCCC. With this assessment it is possible to prioritize projects that avoid more emissions and so mitigate climate change by more.



The positive impacts generated go beyond the organizational context and even the national context. “The result expected in Brazil is that there will be a debate with other banks to measure the impact on the climate of the financing they provide”, says Ingouville. “Worldwide, on the other hand, we can say that the tool means that international financial institutions are now more comfortable about investing in projects related to climate impacts because they can assess the effectiveness of the funds.” It is even expected that this will attract new donors to the Climate Fund.

Economic, social and environmental benefits can be linked to use of the tool. Economic benefits include: improvements in productivity, as the premises of simplification and practicality in the environmental analysis of the requests for financing are served; improvement in basic competences and service provision, with training and preparation of a guide for bank employees; and an increase in the attractiveness of the *BNDES* for receiving donations, including international ones.

In terms of social benefits the new instrument can help change the attitude of companies that submit projects and are concerned with environmental criteria, and of society that begins to understand the environmental counter-part needed for obtaining credit under better conditions. It is also possible to increase transparency in the use of public funds and improve knowledge and understanding of GHG emissions and their possible consequences.

Finally in terms of environmental benefits, the use of the tool generates stimuli for: improvements in the management of natural resources; a reduction in waste and pollution; a probable reduction in the consumption of fossil fuels and of environmental risk; and preparation for adapting to climate change.

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# Urban vulnerability: *CEAPG* carries out research-action in the south of São Paulo

Dafne Oliveira Carlos de Moraes

In 2013 the Public Administration and Government Studies Center (*CEAPG*) of FGV-EASP started research into urban vulnerability. Since then the study coordinator, Peter Spink, has been working by way of a research-action in the M'Boi Mirim region, in the south of the city of São Paulo. The research identifies the social, material and institutional vulnerability of Jardim Ângela and Jardim São Luís, districts in the sub-prefecture of M'Boi Mirim; it promotes workshops with children and teenagers from the region, which has led to maps being drawn up of the public services offered locally; it mobilizes community leaders to do extension courses and is preparing an instrument to formulate the vulnerability indicators of M'Boi Mirim. As a result of its intervention *CEAPG* facilitates debate between social organizations and the local community, the aim being to improve public policies.

## From the Antarctic to M'boi Mirim

Antarctica is a continent covering 14 million square kilometers. Its remote geographical location and adverse climate meant that it only became known around 1910. In 1959, the 12 countries that disputed possession of the territory signed The Antarctic Treaty, which suspended attempts at exploration and supported the establishment of bases for scientific investigation. Four decades later and Antarctica has more than 50 research stations and almost four thousand researchers dedicated to studying issues like the ozone layer, global warming and the movement of tectonic plates.

Heading up the Urban Vulnerability research in the south of the city of São Paulo, Professor Peter Spink explains that a good analogy for the study in the M'Boi Mirim region that he and other professors from *CEAPG* are undertaking are the research stations of Antarctica. "Antarctica was practically non-existent until research stations were established there. These bases had an important function; that of making the continent visible to the world", the professor says. "Correspondingly, the research bases set up on the southern outskirts of São Paulo are, among other important points, seeking to make the place visible."

The first indication of the region's lack of visibility came with the first contacts with its population. In order to start the studies, the researchers tried to collect local data, but they found little information. "We heard that the place had nothing, so we chose to begin our activities with an initial, temporary project called Invisible Cities, and we started getting to know the region", Spink explains.

### Invisible cities

The involvement of *CEAPG* with the south of São Paulo originated around 2008, with the project of Professor Francisco Fonseca. The researcher had created the Growth Acceleration Program (*PAC*) Public Resources Monitoring Center in São Paulo's Water Sources Region. The Monitoring Center interacted with faith and community-based social organizations in the Guarapiranga Reservoir region, especially in the area of M'Boi Mirim, where it monitored the application of *PAC* funds aimed at urbanizing slums and providing basic sanitation in the catchment area of the Billings and Guarapiranga Reservoirs. Among other products its activities generated the documentary entitled "Here there are people: life and exclusion in water source areas", which recounts the living conditions of the region's population. Spink proposed new research after he once more had contact with the location in 2013. In its initial conception the study sought to investigate the social technologies that could contribute to reducing local vulnerability cycles. The south of São Paulo was identified as an area conducive to an understanding of the challenges of urban vulnerability produced by the deterioration in processes, like an increase in population density, growth in the housing shortage and failures in the distribution of public services.

However, despite the previous project that had been developed, it was clear to the researchers that information was scarce. So the Invisible Cities project was developed as a preliminary phase of the Urban Vulnerability Program.

Spink identified services in M'Boi Mirim by drawing up maps in workshops with young people from the region (see photo below). According to the researcher: "We discovered that the degree of social vulnerability in the region was manageable, because unlike what he

population said about ‘there not being anything’, public services were, indeed, being supplied. The problem was they were badly distributed [...] So, the difficulty was not the absence of the state, but the absence of any connectivity between state services”.

### Workshop with young people from M’Boi Mirim for making public service maps



Source: applied research project, 2015 – CEAPG.

So the project tried to stimulate discussion about territorial connectivity by developing maps. Eleven maps were made in total, including one about risk areas and the others on cultural activities and the supply of health services, crèches, elementary education, middle school education, street fairs, and social and parochial services.

The maps enabled CEAPG’s researchers to interact with other academics who were investigating different phenomena in the region and who might be interested in the representations that were prepared. This resulted in interaction with the Federal Psychology Council and with researchers from the M’Boi Mirim Hospital.

Based on the relationship between these groups, the Researchers Forum of M’Boi Mirim was created in 2015. This forum brings together between 25 and 30 researchers every month and leaves access open to those who conduct studies or use results from studies carried out on the region. “We get people who come from USP, Unifesp and local organizations; it’s very eclectic”, says Spink.

## Course in Urban Social Management

In parallel with preparing the public service maps and the discussions about territorial connectivity, CEAPG developed an initiative aimed at education. When accompanying the activities of the Santos Mártires Society, a non-profit civil association that focuses on meeting the demands of the population of Jardim Ângela and neighboring areas, Spink identified the opportunity for the Studies Center to contribute towards improving the association’s management.

The professor says that in talks about the relationship between social organizations and the state, members of the Santos Mártires Society said they felt they lacked certain competences for improving the way they operated. Spink investigated and documented the needs of a group

of 20 people in order to prepare the syllabus for an extra-curricular course. As he explained: “We adapted the critical incidents’ technique, which is used for assessing training needs and we came up with the following process: we asked the group to list individually the difficulties they feel in their daily activities, not in a theoretical way, but directed at issues that could be better resolved if they had competence x, y or z. We then listed the situations in which the participants felt they had less support, we prioritized the most frequently occurring and checked with the group if something was missing. As a result we organized an extra-curricular course divided into two blocks: the first on management and the second dealing with social and urban issues”.

So *CEAPG* developed an extra-curricular course linked to FGV’s Continuing Education Program, entitled Social Urban Management. The course with its 150 hours of lessons was offered free of charge to 40 participants from 7 social organizations in the M’Boi Mirim region. Professors attached to the Studies Center gave 90 hours of lessons and supervised an end-of-course project that comprised 60 hours of work activities. All the lessons and orientation received took place in M’Boi Mirim, and the final pieces of work of all the students were aimed at solving practical issues that are typical of the region.

Spink emphasizes that preparing and giving the course were not deliberate formulations, but resulted from the research-action, which was the methodology he used in his study. “When we got to the region one of the recurrent issues we found was the lack of access to means of improvement. So, as we had the capacity to supply this demand and would be learning about the region during the process, we organized the course”, says the professor.

## Vulnerability indicators

Combining the Invisible Cities project and the opportunity for socializing with others, as provided by the Social Urban Management course, the researchers from *CEAPG* are developing the vulnerability indicators for M’Boi Mirim. The initiative is supported by the maps prepared jointly with the community and will help evaluate the services provided in the region, such as:

- Social Assistance (CRAS/CREAS)
- Social Assistance (children/adolescents)
- Social Assistance (young people)
- Social Assistance (special services)
- Culture (equipment)
- Culture (programs)
- Non-uniform police station
- Infant Education
- Elementary Education
- Middle School Education
- Metropolitan Civil Guard
- Uniform police
- Health (UBS/AMA)
- Health (Hospital)
- Sub-prefecture (basic construction work)
- Sub-prefecture (territorial coordination)



Assessment of these 16 services forms what *CEAPG* called the Connectivity Panel. This panel evaluates those public services whose presence and connectivity are considered fundamental for reducing the vulnerability of a particular territory. For each of them the respondent who assesses the panel services must attribute a value between -2 and 5, as follows:

- -2 ... There is nothing in this area;
- -1 ... Performance below expectation;
- 0 ... Each unit does the minimum amount of basic work expected of it;
- 1 ... Each unit does its basic work with a reasonable quality;
- 2 ... Each unit does its work and tries to interact with users and/or their family members on general topics;
- 3 ... The units look for opportunities to discuss territorial action and possible improvements with other units from the same service;
- 4 ... In addition to discussing among themselves, the units look for opportunities to talk about issues of territorial action with other units and other services;
- 5 ... The units take part in forums with different services to discuss the territorial impact, with the participation of civil society.

Spink believes that the establishment of an interval, during which the attribution of a positive value only begins after fulfilling the basic activities of a service, stimulates the demand for better services. "The idea is to put across that 'doing what one is obliged to do' does not necessarily imply helping. You have to go further and connect the services with the region's need", says the researcher.

The first pre-test of the panel assessment instrument was carried out with 32 students on the Urban Social Management course. The creation of the Vulnerability Indicators of M'Boi Mirim will be linked to the application of the assessment instrument of the Connectivity Panel, which is scheduled to be applied every half-year by researchers from *CEAPG* and by local leaders. The questionnaire will be directed at different groups, like students, cultural movements, public service users and the managers of local organizations. The Studies Center intends making it feasible to assess the progress or the deterioration in the public services offered in each of the three areas identified.

## Social impact

The insertion of *CEAPG* in the M'Boi Mirim region has been generating a significant social impact. Based on its activities, it is possible to identify the benefits to the scientific community and to society as a whole resulting from the incorporation of knowledge in social practices.

From the scientific point of view, the initiatives of the Studies Center seek to contribute to the development of academic production linked to the theory of the languages of public action, the dynamics of territorial mapping, living in risk areas and the challenges of territorial coordination.

On the basis of the access established, two new studies were undertaken by *CEAPG*, which dealt with questions of education and the culture of the M'Boi Mirim region, respectively. The first study considers education as a privileged axis for facing up to juvenile social vulnerability and seeks to promote connectivity between local equipment directed at formal and complementary education. Carried out by Professor Tiago Matheus, with help from Lucio Bittencourt, Roberth Miniguine, Letícia Daidone and Clara Mazarella, the initiative formed working groups with local teachers, principals and managers from 15 schools in the South Region to examine their capacity to face up to the social vulnerability issues of the local youth. In the second study, culture is dealt with as a strategic axis for social policies. Also carried out by Matheus, the research identifies local cultural initiatives that denounce, reflect, question and respond to the challenges of local realities. It presupposes that culture represents a means for facing up to local vulnerability because of its capacity to mobilize, articulate and give young people power. Culture also promotes and strengthens ties between these actions and public policies.

In addition to publications linked to *CEAPG* itself, the activities developed with the participation of the Center, like setting up the Researchers' Forum of M'Boi Mirim, stimulate research into the region, thus ensuring that the knowledge base about the place grows. "We've already received a group of French researchers and one from Barcelona. We've also welcomed academics who are developing post-doctoral work. One of them even used the maps we drew up to work with support networks within the context of solidarity networks", says Spink.

In terms of social practices, the preparation of the public service maps, the Urban Social Management course and the development of the vulnerability indicators for M'Boi Mirim have already had an impact on local society and have the potential to generate an even greater impact in the future.

The maps enabled *CEAPG* to provide recognition of part of the poor outlying areas to the south of São Paulo, which are often superficially portrayed in territorial representation tools, like Google Maps. The course generated the potential for improvements in the management of seven local social organizations. Moreover, the 40 students from the first group applied the knowledge they acquired in work directed at solving local problems. Finally, the indicators constitute an assessment tool for guiding the action of social organizations when preparing more effective public policies for the region.

*CEAPG* has been developing its activities with a focus on the sub-prefecture of M'Boi Mirim, but intends expanding its action to include the Campo Limpo region, a sub-prefecture that is also in the south of the city and that includes the Campo Limpo districts, also known as the sub-prefecture of Capão Redondo and Vila Andrade. Together the two sub-prefectures represent some 1.3 million inhabitants.

In short, the action of *CEAPG* in the Urban Vulnerability Program generated economic, social, environmental and cultural benefits and has the potential to generate more benefits in the future.

In terms of economic benefits the program led to improvements in the competences base of social organizations, probable improvements in the services provided by these organizations and unquantifiable economic results because of adjustments in the public policies that apply to the needs of the M'Boi Mirim region.

In terms of social benefits, the Program led to new approaches to social issues, in addition to fostering a change in attitude in the community, with the discussion about the quality of public services. With *CEAPG's* intervention it is possible to conclude that it exercised (and will exercise) an influence on the evolution of issues in local society, stimulating debate among social organizations and the community with the aim of improving public policies.

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EDUCATION AND HUMAN CAPITAL

# The importance of interactivity in learning

## RESEARCH IN FOCUS:

*The role of interactivity in learning from engineering animation*

Agnaldo Pedra,  
Richard E. Mayer and  
Alberto Luiz Albertin

Interactive resources on tablets attract student attention better, but do not improve the knowledge acquisition process.

## **OBJECTIVE TO ASSESS THE TEACHING VALUE OF MAKING LESSONS ON TABLETS MORE INTERACTIVE.**

### **X-RAY OF THE RESEARCH**

- Test with two groups, the first with Brazilian students on an engineering course and the second with American students on a psychology course.
- A five-minute simulation for students of an explanation via iPad of a six-step maintenance procedure for a mechanical device.
- In Experiment 1 the students were divided into two groups, one with low interactivity use and the other with high. In Experiment 2 the students were divided into three groups, one with no interactivity, another with low interactivity and the other with high interactivity.
- Presentation of the statistical results of the test based on a questionnaire about interest and a learning test.

### **RESULTS**

- In both experiments, the students that took the test with most interactivity said they were more interested and more attentive.
- There was no difference in learning in either experiment at different levels of interactivity.

### **WHAT'S NEW**

- When the objective of the lesson is to increase student interest, greater levels of interactivity may be of great value.
- When the objective of the lesson is to improve student learning, interactivity seems to be ineffectual.
- There is no evidence that the increase in interest contributes to an increase in learning.



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EDUCATION AND HUMAN CAPITAL

# Making on-line students loyal

## RESEARCH IN FOCUS:

The influence of synchronous interactive technology and methodological adaptation on the intention of continuing to use distance learning

Fernando de Souza  
Meirelles and  
Fábio Nazareno  
Machado-da-Silva

Even though they may not be enthusiastic with the content, users of distance learning want technology that is easily adaptable and a type of course that boosts their careers.

## OBJECTIVE TO ASSESS WHAT MAKES STUDENTS CONTINUE STUDYING IN DISTANCE LEARNING (DL).

### X-RAY OF THE RESEARCH

- Course given in a Moodle virtual learning environment involving 2,376 people from all over Brazil. Half of the group had access to basic resources (forums, direct messages and lessons recorded on video), while the other half had live video-conference lessons (synchronous interactive technology capable of enabling interaction in real time).
- Data treatment and statistical analysis.

### RESULTS

- Technology that promotes live interaction does not guarantee that students will return to DL courses.
- Student adaptation to the methodology is an important satisfaction factor of the perception of the student as to how useful the course is and their intention to return to studying via the Internet.
- The predisposition for DL by age band led to some non-intuitive results: 77% of those up to 20 years old prefer classroom-based studying. This falls to 46% when only the over-40 age band is considered, in other words, 54% of the people over 40 prefer DL.
- The differentiating aspects in an on-line course are: the quality of the content given; the quality of the teachers; and the reputation/quality of the institution.
- Users consider rational factors when deciding to go back to studying on the Internet, such as possible job promotion, a salary increase and professional improvement, rather than their personal satisfaction; in other words, their contentment, enthusiasm and interest (these aspects weigh more heavily with older students, who have an already established professional career).

### WHAT'S NEW

- Brazilian students still associate most of their school (on-line) "success" to the teacher and the institution, when in fact the DL proposal is to make the student an independent subject and the "builder" of their own knowledge. This behavior is inherited from classroom-based teaching, where the teacher is the active agent and the student merely needs to "receive" content.
- If the student adapts to the method and believes that the course was useful to their formal education and career, even if they were not satisfied, they may go back to studying by virtual means in the future.
- Before offering such courses it is important to investigate the expectations of the target-public in such a way as to ensure the teaching proposal is closer to the reality of the student.



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EDUCATION AND HUMAN CAPITAL

# Technology should be appropriate to the students' profile in distance learning

## RESEARCH IN FOCUS:

Managing DL resources: How to adjust the technology to fit assimilation profiles

Lucia Helena Aponi Sanchez,  
Otavio Prospero Sanchez and  
Alberto Luiz Albertin

Students find it difficult to learn using interactive and collaborative resources; those who are analytical prefer reading and those who are more open to experimentation like video lessons.

## **OBJECTIVE TO ANALYZE WHAT RESOURCES IN DISTANCE LEARNING ARE MOST EFFECTIVE, CONSIDERING DIFFERENT TYPES OF STUDENT.**

### **X-RAY OF THE RESEARCH**

- Preparation of a questionnaire that was sent to students who use distance learning (DL) technology on administration, accounting sciences and teacher training courses, with 135 valid replies.
- Statistical analysis of the data.

### **RESULTS**

- DL students can be classified as falling into two assimilation profiles: analytical assimilation (the use of logic and comparisons); and relational assimilation (learning because of a liking for the subject and experimentation).
- Individuals with an analytical assimilation characteristic identify the textual modality (reading study guides, texts, course text-books and books generally) as being the most effective for their learning process, while those from the relational assimilation group identify with audiovisual modalities (video-lessons, films, YouTube, radio, cell phones).
- Neither of the groups considers it easy and advantageous in terms of learning to use collaborative (forums, blogs, Twitter, Wiki) and interactive (chats, Facebook, MSN, Skype) technologies.

### **WHAT'S NEW**

- Contrary to what is recommended, DL course managers should pay special attention to giving preference to textual technology, particularly if the predominant profile of the students is that of analytical assimilation.
- When the students fall into the over-25 age band, the use of new technological resources should be preferred even more.



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EDUCATION AND HUMAN CAPITAL

# The role of the military government in creating post-graduate courses in administration

## RESEARCH IN FOCUS:

The early days of post-graduate courses in administration: The *PNTE* and *EASESP* in disseminating Brazilian programs

Amon Barros and  
Adele Carneiro

**Brazil's developmental program financed the creation of Master's courses with a North American influence, but at the same time promoted Brazilian knowledge.**

## **OBJECTIVE TO UNDERSTAND THE ROLE OF THE FEDERAL GOVERNMENT IN CREATING *STRICTO SENSU* MASTER'S COURSES IN ADMINISTRATION IN BRAZIL.**

### **X-RAY OF THE RESEARCH**

- Qualitative research that concentrated on the 1972 to 1976 period in the National Executive Training Program (*PNTE*) and helped introduce courses in four universities (UFRJ, UFMG, João Pinheiro and FGV-EAESP), which cost the equivalent of R\$ 50 million at today's values.
- Investigation of the minutes of the meetings of the Departmental Council of FGV-EAESP in the 1960s.
- Interviews with professors and former professors.

### **RESULTS**

- The *PNTE* was part of the developmental logic of the First National Development Plan (*PND*), a time when the military government was trying to create and consolidate post-graduate courses in Brazil. It was a time when nationalism sometimes clashed with and sometimes accepted the influence of the USA.
- Despite the FGV-EAESP being able to count on support from the Ford Foundation in the early years after it was set up in the 1970s, the school underwent difficulties with regard to its cash flows. At the same time it was difficult to retain the faculty given the competition from companies that were looking for just such professionals. It was within this context that clearer rules were established for creating *stricto sensu* post-graduate courses.
- In the way the *PNTE* agreement worked in the EAESP, various difficulties were evident and related to the dedication of the professors and their compensation and productivity by area of research.
- In 1976, a year after the creation of the National Association of Post-graduate Programs in Administration (*ANPAD*), the *PNTE* weakened and moved from *FINEP* [Studies and Projects Funding Agency] to *CEBRAE*. Even so it contributed indirectly to establishing the association that has since then played an important role in the institutionalization of post-graduate courses in administration in Brazil.
- The course led to the consolidation of a permanent body of professors and encouraged research.

### **WHAT'S NEW**

- The support of the federal government was fundamental for consolidating *stricto sensu* post-graduate courses in administration in FGV-EAESP and in other universities.
- Even though the *PNTE* contributed to spreading the US matrix that was then predominant in FGV-EAESP, the program also contributed to the formation of college faculties and consequently to Brazil-based thinking.



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ENTREPRENEURSHIP

# The strength of improvisation

## RESEARCH IN FOCUS:

The decision process and the use of logic as effectuation and causation in the transition from a small to a medium-size company: Case studies in the hotel sector in Curitiba (PR)

Talita Leucz  
and Tales  
Andreassi

When companies grow, planning increases but a lot of improvisation still remains. A study involving hotels shows that when enterprises move from a small to a medium size they establish a lot of planning and control processes, but the decision process is still centralized, short term, flexible and adaptable, according to the moment.

## **OBJECTIVE** TO ANALYZE HOW GROWING FROM A SMALL TO A MEDIUM-SIZE COMPANY AFFECTS THE DECISION PROCESS.

### X-RAY OF THE RESEARCH

- In-depth qualitative research of two cases in the hotel sector in Curitiba (PR).
- Interviews with employees, owners and founders; document analysis and observation.

### RESULTS

- When the companies grew various aspects changed: procedures became more formal, with the standardization of areas like service and cleaning, and solutions were established as to how to proceed in certain situations; control mechanisms were created, like employee clocking-on and security cameras; intermediate level positions were created and there was greater delegation of power to administrative and operational positions; and the hotels started training their employees.
- Some aspects did not change: actions still focused on the short term and were not based on very clear goals or objectives; strategic decisions were still centered on the entrepreneur; procedures were not adopted for formalizing decisions, and the network of contacts was still essential to the business.

### WHAT'S NEW

- It was possible to show that when companies change from small to medium-size they start adopting a more planned strategy, a logic known in studies into entrepreneurship as 'causation'. The hotels investigated began collecting information about their customers, analyzing market trends, mapping out future scenarios, making financial forecasts, organizing control processes and other aspects.
- On the other hand, even in medium-size companies, aspects still remain that are typical of young companies that take decisions according to the moment, a logic that is known as 'effectuation'. In the cases analyzed, decisions were still adaptable and flexible, there were no business plans, and resources were still administered in a limited way and according to the eventualities, or opportunities that arose.



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CORPORATE STRATEGY

# How institutional changes have an impact on business performance

## RESEARCH IN FOCUS:

*Do institutions matter in Latin America? A longitudinal analysis of institutional changes in the performance of Brazilian companies*

David Kallás,  
Carlos Afonso Caldeira,  
Rodrigo Bandeira-de-  
Mello and  
Rosilene Marcon

**“Pro-market” policies make companies less dependent on macro-economic factors and more subject to their internal competences; but the effect varies according to the sector.**

## **OBJECTIVE** TO ANALYZE THE EFFECT OF INSTITUTIONAL CHANGES ON THE RESULTS OF COMPANIES OPERATING IN BRAZIL.

### X-RAY OF THE RESEARCH

- A survey of 5,469 observations about the return on capital and net shareholders' equity of Brazilian companies over a period of 24 years (1986-2009).
- Data identification and analysis in three different institutional periods: "taming inflation" (1986-1993), "building an institutional structure" (1994-2001) and "rising to prominence" (2002-2009).
- A statistical analysis was carried out of the performance of companies by sector in the three periods.

### RESULTS

- The differences in the return on capital between the institutional periods are relevant, which shows the important effect institutions have on performance.
- The impacts of the institutional effects differ according to the sector. For example, in the third period analyzed (Lula government), there was a positive effect in sectors like oil and gas, the finance industry and the retail trade, and a negative effect in sectors like the textile industry.
- As the institutional environment improves, the diversity of the performance between companies increases.

### WHAT'S NEW

- As institutions become more "pro-market", company and sector dependence on macro-economic factors reduces and the relevance of their internal operational competences on their financial performance increases. The greater diversity in performance indicates that market institutions remunerate good strategies.
- The study puts forward the hypothesis that institutional changes impact sectors in different ways.



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CORPORATE STRATEGY

# The development of competences by Brazilian multinationals

## RESEARCH IN FOCUS:

*The competences of Brazilian multinationals: Impacts of a “tug-of-war” between cultural legacies and global mentality*

Germano Glufke Reis,  
Maria Tereza Leme Fleury,  
Afonso Carlos Corrêa  
Fleury and  
Felipe Zambaldi

On the one hand, a global mentality in the headquarters helps subsidiaries; on the other, cultural factors, like excessive centralization harm the capacity of units to plan and develop activities, like production, marketing and sales, human resources and finance.

## **OBJECTIVE** TO IDENTIFY HOW BOTH A GLOBAL MENTALITY AND THE LOCAL CULTURAL FACTORS OF BRAZILIAN MULTINATIONALS HAVE AN INFLUENCE ON THE COMPETENCES OF THEIR FOREIGN SUBSIDIARIES.

### X-RAY OF THE RESEARCH

- Research carried out in the headquarters and subsidiary companies of Brazilian multinationals, like Vale, Embraer, Braskem, Weg, Embraco, Natura, Ambev and Marcopolo.
- A statistical analysis based on crosschecking data about global mentality, cultural factors and the competences of the subsidiary companies.

### RESULTS

- In comparison with previous studies, Brazilian multinationals have increased their global mentality, as measured by their global orientation, global knowledge and global skills.
- A global mentality contributes towards the development of competences in the subsidiaries, while cultural factors (the centralization of power, rules and decisions in the headquarters) are negatively associated with the development of competences in the subsidiaries of Brazilian multinationals.

### WHAT'S NEW

- With the greater international exposure of Brazilian multinational companies in recent years, an evolution seems to have occurred in their orientation, knowledge and global skills.
- The study shows that there is a “tug-of-war effect” in the development of the competences of the subsidiary companies of Brazilian multinational companies. Whereas a global mentality acts positively on the one hand, on the other, cultural factors have a harmful effect – and a more pronounced traction effect.



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CORPORATE STRATEGY

# The weight of origin in the strategy of multinationals from emerging countries

## RESEARCH IN FOCUS:

*Developing an analytical framework for the study of operations management in emerging country multinationals*

Afonso Fleury,  
Yongjiang Shi,  
Silas Ferreira Jr,  
Jose Henrique Cordeiro and  
Maria Tereza Fleury

**Managers need to take into consideration specific features of the country in which the company's headquarters are based when thinking about paths to internationalization.**

## **OBJECTIVE TO UNDERSTAND THE INTERNATIONAL OPERATIONS STRATEGY OF MULTINATIONAL COMPANIES FROM EMERGING COUNTRIES.**

### **X-RAY OF THE RESEARCH**

- A proposal for a conceptual framework for analyzing the international operations strategies of multinational companies from emerging countries, taking into consideration how specific, country-of-origin factors affect the organization of a chain of subsidiaries.
- Taking as the basis the conceptual framework that was prepared, a study was carried out of three Brazilian cases: Embraer, Embraco and Weg.

### **RESULTS**

- The companies studied chose general internationalization strategies that are typical of companies that enter the global market late.
- It was found that Brazilian multinationals prefer to enter neighboring countries first in order to reduce cultural risks and difficulties.
- The companies surveyed tended to centralize their decisions, which is a Brazilian cultural and organizational characteristic.
- The three multinationals studied began their internationalization by centralizing their production locally and exporting. Their expansion, however, took different courses: Embraer became an integrating complex of product systems, while both Weg and Embraco grew as industrial producers (but both have looked for other forms of positioning).

### **WHAT'S NEW**

- Specific features of the history of the country – production, local culture and public policy factors – have an influence on internationalization movements and should be taken into consideration by managers.
- There is strong evidence of the existence of effects related to the country of origin in governance and the geographic dispersion of the international operations of Brazilian multinationals, which change over time and have less influence the more companies become international.
- The international operations network is constructed in stages. As a strategy is implemented this enables the company to acquire the skills that will provide support for a new and more elaborate competitive strategy.



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MARKETING STRATEGIES

# How social capital and engagement in social networks generate value

## RESEARCH IN FOCUS:

Confidence, engagement, social capital and value creation in the virtual communities of corporate brands

Felipe Zambaldi and  
Delane Botelho

The virtual communities of brands generate more engagement, confidence and value when users share common values and interests.

## **OBJECTIVE** TO IDENTIFY WHAT LEADS TO THE VALUE CREATION OF BRANDS ON THE FAN PAGES OF SOCIAL NETWORKS.

### X-RAY OF THE RESEARCH

- Bibliographic and qualitative research for constructing scales: the perception of brand value; confidence in the brand; engagement with the fan page; and constructing social capital on social networks, considering the dimension of homophily (interaction between people increases when they share beliefs, values, education and social status) and the strength of the tie (in social networks, weak relationships are less trustworthy than strong ones).
- Pre-test of the model with 49 users of virtual communities.
- Statistical analysis based on a questionnaire completed by 410 fan page followers in three sectors: Hyundai (durable goods), Skol (non-durable goods) and Accor (services).

### RESULTS

- The main trigger for engaging with the fan page of brands is the generation of social capital. People with strong ties and who share the same interests engage and have greater confidence and more value perception.
- Like social capital, confidence has a positive influence on the perception of brand value.
- Skol was the brand that managed to establish a stronger relationship for generating enthusiasm, attention and greater connections, by offering benefits like promotions and prize draws and creating a relaxed and fun environment. But the homophily levels of its followers were lower, suggesting that perhaps the strategy is not supported by the sharing of common values and interests, but has to do more with the direct benefits offered.

### WHAT'S NEW

- It is worth brands investing in their fan pages to get closer to their followers and promote a collective mentality of mutual interests.
- Care needs to be taken with the form of engagement in order not to offer only immediate benefits, but also to promote a community of people with strong ties who share the same interests.



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MARKETING STRATEGIES

# The new on-line consumer boycott

RESEARCH IN FOCUS:

*Proposition of a relational boycott*

Breno de Paula Andrade Cruz  
and Delane Botelho

On social networks and sites like *ReclameAqui* [Complain Here], customers dissatisfied with service and after-sales support spread their rejection of companies without the interference of traditional activists.

## **OBJECTIVE** TO EXAMINE THE NEW WAY THAT CONSUMERS HAVE FOUND OF BOYCOTTING COMPANIES IN VIRTUAL SOCIAL NETWORKS.

### X-RAY OF THE RESEARCH

- Qualitative research into two retail networks, one selling furniture and the other household appliances.
- Interaction in social networks with 183 consumers over 25 days, the observation of 68 posts (between 2009 and 2012), an analysis of 47 complaints on the *ReclameAqui* site and in-depth interviews with 15 consumers.

### RESULTS

- The emergence of a new type of consumer boycott was found, called a relational boycott, which occurs in after-sales (when the company does not provide sufficient attention to purchase problems, such as cases of a delay in delivery and defective products) or pre-sale aspects (when the consumer feels a lack of attention, respect, cordiality or technical knowledge on the part of the company's employees).
- Virtual social networks help consumers unite in groups and spread their negative experiences to third parties, as a way of encouraging other customers to adhere to the boycott.

### WHAT'S NEW

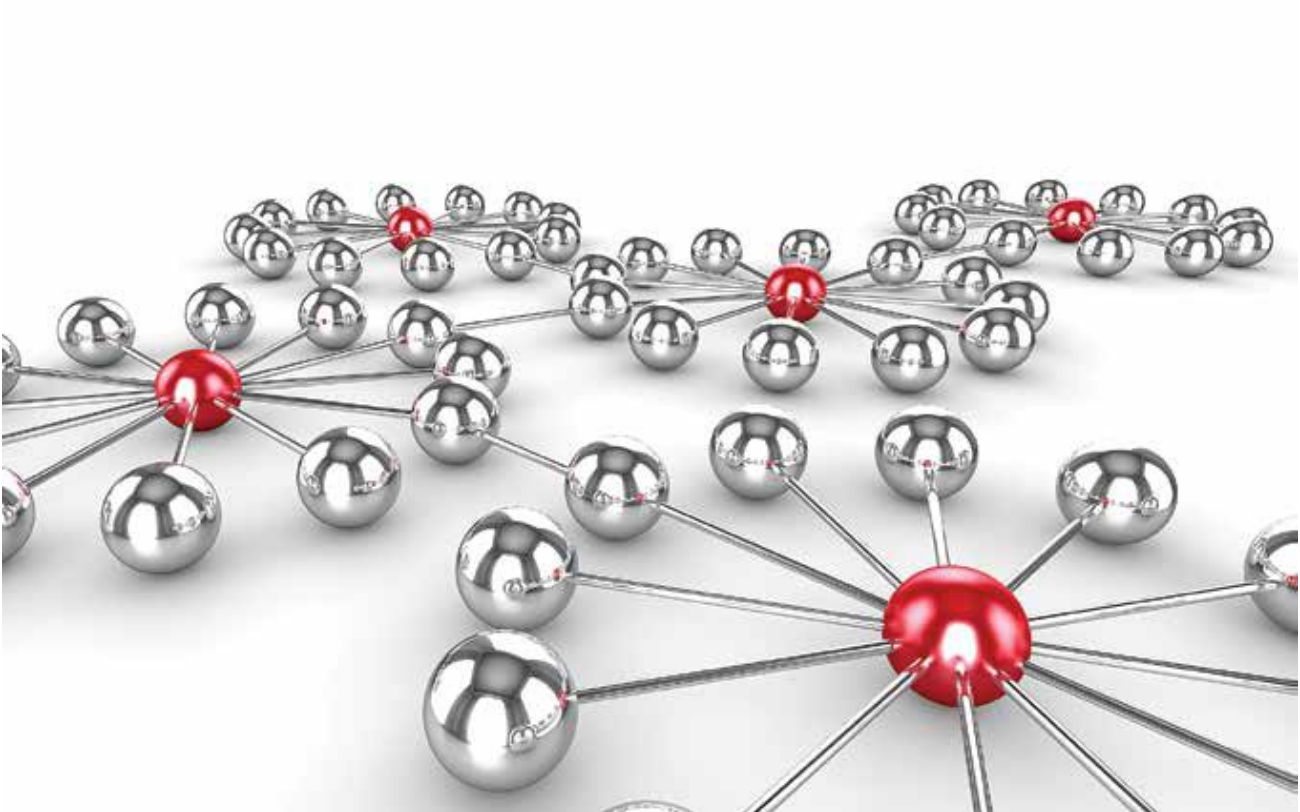
- Collective consumer boycotts for economic, religious, minority, ecological and labor-related reasons are already heavily studied. This study adds a new type of boycott, the relational, which unlike the others is an individual manifestation without the interference of activists.
- The relational boycott is structured as a deliberate and primary act of the consumer resulting from the managerial problems of a company (poor service quality, delivery delays and defective products).
- Consumers with the same type of frustration interact, unite in groups on social networks and encourage third parties. Individuals may use social networks to ensure their boycott actions become more effective.



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## MARKETING STRATEGIES

# Product distribution in emerging markets should be more fragmented

**RESEARCH IN FOCUS:**

*The relationship between distribution and market share in different regions and channels in an emerging market*

Leandro Angotti Guissoni,  
Rajkumar Venkatesan,  
Paul Farris and  
Jonny Mateus Rodrigues

Mainly in less developed regions, like Brazil's northeast, those consumer brands that make available their products to the retail trade in general and not just to the most important stores manage to get a bigger market share.

## **OBJECTIVE TO ANALYZE HOW CONSUMER BRAND DISTRIBUTION STRATEGIES AFFECT MARKET SHARE ACCORDING TO THE RETAIL FORMAT AND REGION IN BRAZIL.**

### **X-RAY OF THE RESEARCH**

- A survey of market cover and market share data available from audits carried out by a research company in the southeast and northeast of Brazil in supermarkets, bakeries, general stores and bars.
- A survey of products in the non-fizzy drinks category that have grown in recent years, particularly juices, energy drinks, isotonic drinks and teas, including more than 100 manufacturers, 200 brands and 1000 stock keeping units (SKUs).
- Statistical analysis of the data.

### **RESULTS**

- Market cover is a critical factor when it comes to consumer brands achieving market share.
- In southeast Brazil, stimulating product availability for consumers by way of the most relevant retail outlets is fundamental.
- In the northeast it is essential that products are available in retail outlets in general and not just in the most important stores. The variety of products held by different retailers is bigger in the northeast and the search for variety on the part of consumers is greater too.

### **WHAT'S NEW**

- Numerical distribution (the percentage of stores that offer a particular product), a little-considered measure in developed countries, is important in countries like Brazil, especially in less developed regions. In the northeast of the country consumer brands with a more fragmented distribution achieve a bigger market share.



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MARKETING STRATEGIES

# Store formats in low income neighborhoods

## RESEARCH IN FOCUS:

*An evolutionary retail model in emerging markets: Clothing store formats in Brazil*

Ana Paula Miotto  
and Juracy Parente

**In Brazil, 37% of clothing retail outlets in poorer areas still have an antiquated format that is attractive in neither price, appearance, nor in the products sold.**

## **OBJECTIVE** TO IDENTIFY THE CLOTHING STORE FORMATS FOUND IN BRAZIL IN LOW INCOME RETAIL CENTERS.

### X-RAY OF THE RESEARCH

- A survey of 108 clothing stores in three street retail centers in lower middle class neighborhoods in São Paulo: São Miguel Paulista, Capão Redondo and Vila Nova Cachoeirinha.
- Observation of the stores, interviews with managers and cluster analysis, based on the observed characteristics of different retail formats.

### RESULTS

- The study identified four clothing store formats: 1) antiquated or traditional; 2) a focus on low price; 3) specialist; and 4) consolidated.
- The antiquated group contained 40 stores, which charge average prices and are neither visually attractive, nor do they offer a large selection of products.
- The segment focusing on low prices comprised 43 stores, which aggressively display their prices. They are not visually bold, neither do they offer more modern or own brand products.
- There were 12 stores in the specialist group that follow a more creative strategy and concentrate on specific categories (such as lingerie or surfwear) and offer the latest trends within their specialty at a higher price than that of the other groups.
- Thirteen stores were included in the consolidated group; their premises are bigger, some belong to major retail chains and the stores have reached a level of modernization that is similar to companies in developed countries.

### WHAT'S NEW

- Of the four categories identified, three (low price focus, and specialist and consolidated stores) are very similar to formats found in North American retail outlets, within a developed country context.
- The fourth category – “antiquated” (or traditional), which corresponds to 37% of the total surveyed – is typical of poorer countries and, in their eventual modernization process, tend to evolve to “specialist” or “low price focus” store formats.
- Unlike the retail stores found in shopping malls, more than half the stores surveyed in the three street retail centers belong to small companies that have just a single store.



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ORGANIZATIONAL STUDIES

# How Brazilian associations recruit and engage their associates

**RESEARCH IN FOCUS:**

Membership management in Brazilian associations

Fernando do Amaral Nogueira,  
Laís Atanaka Denúbila,  
Rogério Scabim Morano and  
Leticia Menoita Pinto

**In two thirds of the cases, associations that are considered to be schools of democracy have a board that is chosen in elections in which there is only one slate.**

## **OBJECTIVE** TO UNDERSTAND THE MANAGEMENT PRACTICES OF BRAZILIAN ASSOCIATIONS.

### X-RAY OF THE RESEARCH

- A survey of Brazilian associations, with 99 valid replies (57 from legal entities; 42 from private individuals).
- Statistical analysis of the data.

### RESULTS

- Among the reasons for joining an association, members stress the cause of the association (72%), the benefits offered (55%) and contacts with a network of people or organizations with a similar profile (49%). Among the reasons for leaving are the lack of payment (53%) and a lack of interest in the association (17%).
- In the case of associations of private individuals, the main benefits perceived by the associates are: the possibility of publicly declaring that one is a member of the association, collective representation vis-à-vis the government or other bodies (lobby/ advocacy), facilitated access in contacts with other associates and access to exclusive information. In the case of legal entities, the main benefit mentioned was the lobby/advocacy, followed by public representation with the press, access to exclusive information and facilitated contact with other associates.
- The most relevant practices involving association managers were: a) communication actions for recruiting new associates; and b) relationship, networking and communication actions for engaging and retaining existing associates.
- The differences between managing associations of legal entities and private individuals are fewer than academic literature would have one suppose. The factor that differentiates management practices seems to be the size of the association; generally the bigger the association the more management practices are valued.
- The governance of associations tends to be less democratic than is supposed. In two thirds of the cases, the election of the new board takes place with a single slate.

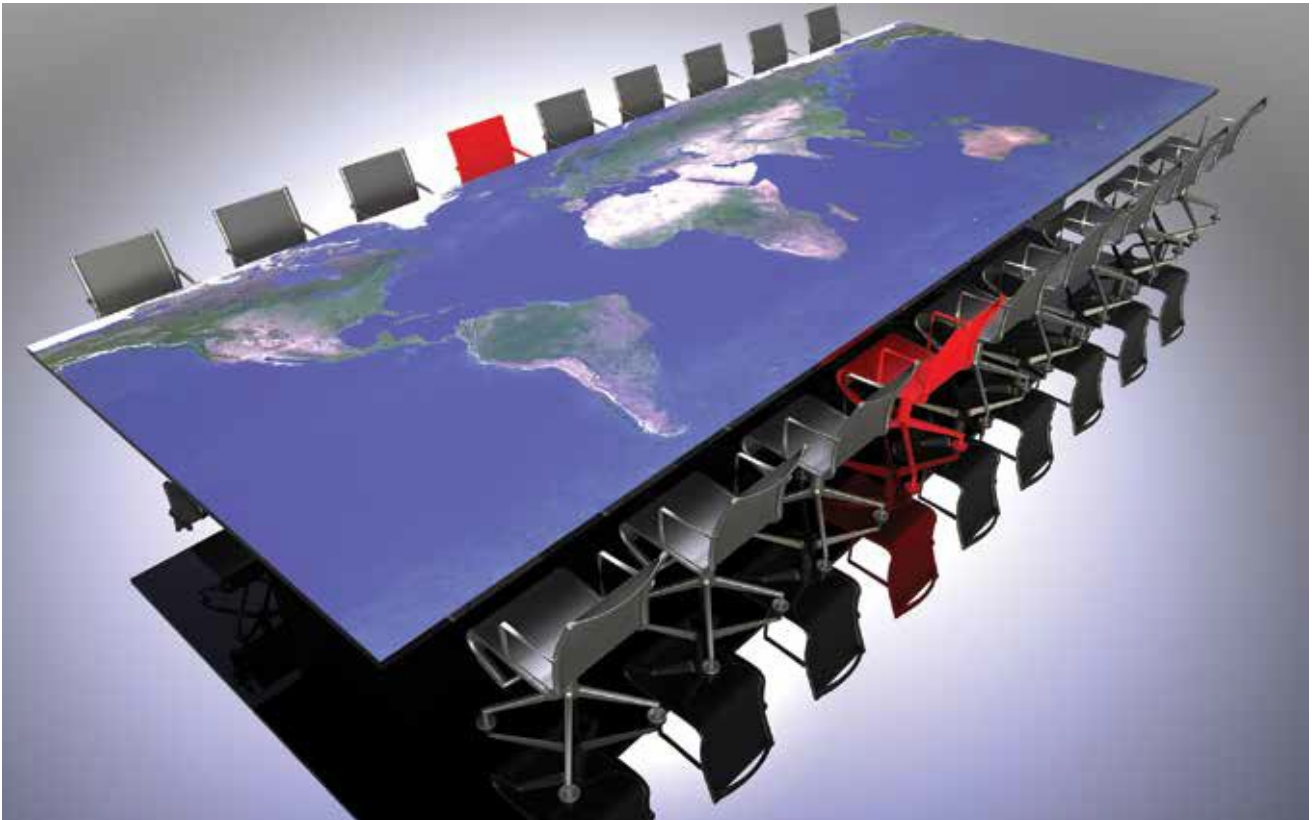
### WHAT'S NEW

- The research qualifies and quantifies how associations are managed in Brazil. One aspect, especially, is worth reflecting on: the predominance of governance based on the “single slate democracy” model. What might this mean when we remember the weight associations have as “schools of democracy”?



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ORGANIZATIONAL STUDIES

# The daily routines of teams with foreigners in multinational companies in Brazil

RESEARCH IN FOCUS:

Multicultural teams in the Brazilian subsidiaries of multinationals: A multiple case study

Janaína Maria Bueno and  
Maria Ester de Freitas

**Brazilians receive professionals from other countries in their teams well, but while the former are considered to be empathic and flexible, at the same time they irritate the foreigners because they are more dispersive and find it difficult to comply with rules and deadlines.**

## **OBJECTIVE TO ANALYZE THE CHALLENGES FACED IN BUILDING THE DAILY WORK OF MULTICULTURAL TEAMS IN BRAZILIAN SUBSIDIARIES.**

### **X-RAY OF THE RESEARCH**

- A case study in the subsidiaries of three multinationals that have been operating for more than 10 years in Brazil and that have professionals from other countries on their staff.
- Interviews with 33 professionals, of whom 13 are foreigners.

### **RESULTS**

- It is easier for multicultural teams to work in a strong global organizational culture, which clearly defines dress code and standards in terms of vocabulary and expected attitudes and roles. This reduces the confusion that breakdowns in communication may cause.
- Experience in multicultural teams is considered to be highly challenging and difficult in the beginning, but the friendly profile of Brazilians helps the group.
- Foreigners consider Brazilians to be more dispersive, less focused and rarely on-time, especially with regard to deadlines. Their flexibility is sometimes assessed positively (in relation to the capacity Brazilians have for adapting easily) and sometimes negatively (with regard to their difficulty to comply with the rules).
- There is no defined policy, register or systematization of practices of what to do and of intercultural coexistence that might be taken better advantage of when coordinating and managing multicultural teams.

### **WHAT'S NEW**

- Clear values and priorities are important for the good functioning of multicultural teams, as are well-defined people management policies that make the international mobility process transparent and take care of welcoming expatriates.
- The research shows that the experience of multicultural teams helps when it comes to training the professionals, since it improves their relationship skills and expands their view of the world, which helps when dealing not only with the physically present teams, but also with the virtual ones.
- Experience in multicultural teams is highly positive for those involved (despite being tiring). It improves their adaptation capacity and flexibility for change, levers careers and generates awareness that the organization is bigger than the subsidiary.



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ORGANIZATIONAL STUDIES

# The business model of criminal undertakings

RESEARCH IN FOCUS:

*Corporate frauds as criminal business models: An exploratory study*

Thomaz Wood Jr. and  
Ana Paula Paulino da Costa

Fraudulent organizations go to great lengths to create the illusion they are honest, competent, ethical and innovative.

## **OBJECTIVE** TO SHOW WHICH CIRCUMSTANCES LEAD TO THE IMPLEMENTATION OF CRIMINAL BUSINESS MODELS THAT ARE CREATED AND MAINTAINED BY DEFRAUDING AGENTS FOR LONG PERIODS OF TIME.

### X-RAY OF THE RESEARCH

- An investigation based on the case study of Santos Bank.
- Collection and analysis of 222 newspaper and magazine articles and other media; 24 documents from the judicial branch of government and 9 promotional videos.

### RESULTS

- Santos Bank focused on high net worth private individuals and companies, especially those in financial difficulty.
- The company created the illusion of being an honest, competent and innovative organization, internally via a code of ethics and a compliance department, and externally based on the image of its owner, Edemar Cid Ferreira, as a patron of the arts.
- The management system of Santos Bank was simultaneously both centralized and fragmented. Few executives had a complete view of the operations.
- Santos Bank had a special and aggressive employee compensation policy. As a result, it attracted talented people and strengthened its image of being a strong and aggressive institution.
- The fraudulent scheme functioned like a pyramid or Ponzi scheme, with withdrawals being covered by new fund raising. In parallel with this, offshore companies facilitated the illegal remittance of funds abroad and money laundering.
- The main fraud practiced by Santos Bank consisted in illegally diverting investor funds into companies controlled by the institution itself, some of them fronting companies.

### WHAT'S NEW

- Corporate frauds should be analyzed from a systemic perspective, not as isolated events or actions.
- Actions that manage image can facilitate a fraudulent scheme being maintained for a long time.
- The adoption of codes of ethics, control systems and governance practices may be merely ceremonial, thereby increasing the degree of external trust in the criminal organization and facilitating its fraudulent activities.



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ORGANIZATIONAL STUDIES

# What really generates volunteer commitment to the work of NGOs?

## RESEARCH IN FOCUS:

*Unselfishness? Understanding the role of altruism, empathy, and beliefs in volunteer commitment*

Tânia M. Veludo-de-Oliveira,  
John G. Pallister and  
Gordon R. Foxall

Research shows that it is not true that young volunteers who want to “make a difference” participate more than those who become engaged to improve their résumé. In fact, what dictates commitment is something more banal: the capacity to reconcile their volunteerism with other activities.

## **OBJECTIVE** TO EXPLAIN WHAT IS BEHIND THE COMMITMENT OF YOUNG VOLUNTEERS WHO WORK WITH NGOs THAT ARE INVOLVED WITH LONG-TERM SOCIAL PROJECTS.

### X-RAY OF THE RESEARCH

- Research with an NGO that is involved with long-term volunteer projects.
- The organization of two focus groups with eight participants to help prepare a questionnaire on the motivation behind undertaking volunteer activities.
- A survey was carried out into the motivation of volunteers, which received 257 replies; their true behavior was monitored over time.
- Statistical analysis of the data, comparing the group of highly committed volunteers with the group of less committed volunteers.

### RESULTS

- Young volunteers have a mixture of unselfish motives (“I want to make a difference in the lives of others”) and selfish motives (“my volunteerism is going to improve my résumé, help me meet people and make friends”).
- The fact of whether the motivation is more altruistic or more selfish does not explain why some volunteers are more committed than others.
- What differentiates highly committed volunteers is that they keep going, even if they are faced with a lack of time or other obstacles.

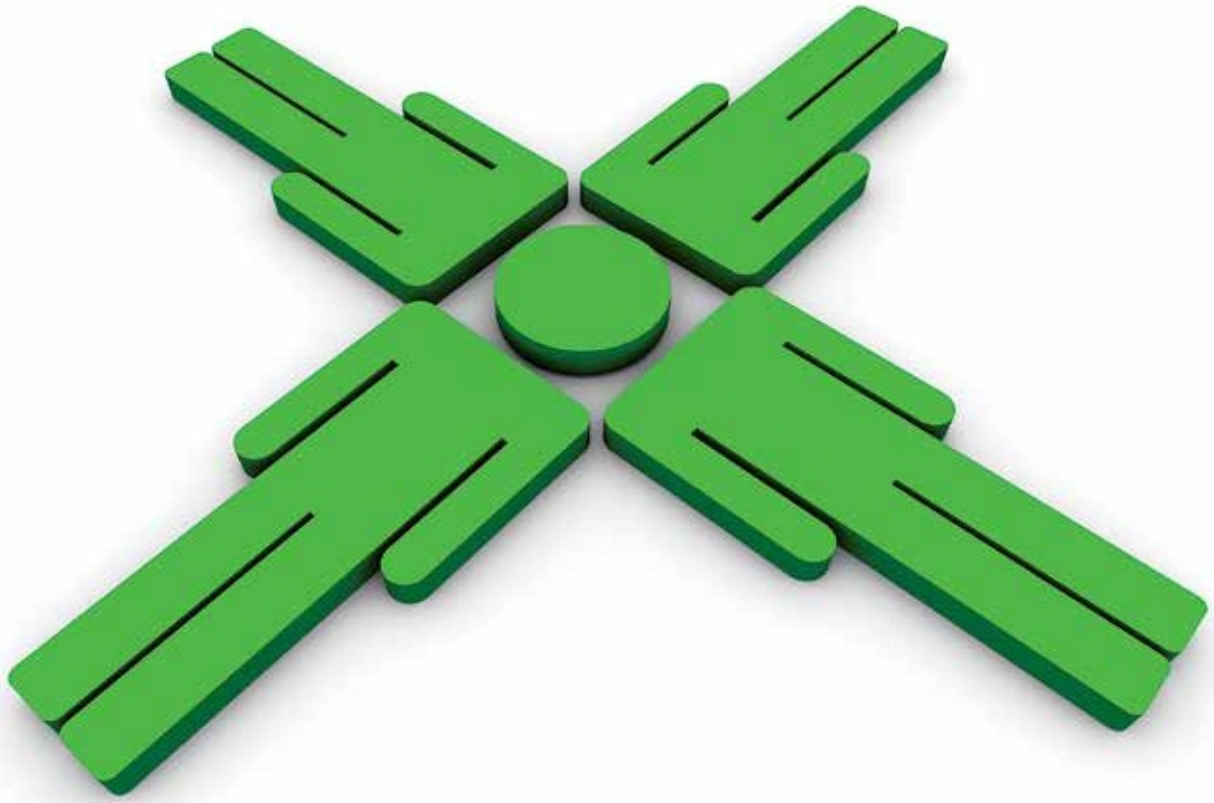
### WHAT’S NEW

- It is not enough to look at the motivation of young volunteers. Attention needs to be paid to the challenges that volunteers face when it comes to reconciling their activities.
- In order to promote strong commitment NGOs can help their volunteers organize their diaries, allow flexible working time and facilitate access to the place where the volunteer activities take place (for example, by supplying a free transportation service).



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ORGANIZATIONAL STUDIES

# Consumer-centered production

RESEARCH IN FOCUS:

*Organizations as producers of  
consumers*

Isleide Arruda Fontenelle

Whereas until the 1980s industries ‘manufactured’ marketing professionals who dreamed up strategies for selling their products, in the current age of co-creation there is no longer any way of separating the world within organizations from the world without.

## **OBJECTIVE TO ANALYZE THE CHANGE IN RELATIONS BETWEEN LABOR AND CONSUMPTION, SPHERES THAT ARE BECOMING INCREASINGLY INTERCONNECTED.**

### **X-RAY OF THE RESEARCH**

- A survey of the literature on the place of consumption in the creation process and value expansion in capitalism, which is found in Marx and other contemporary authors.
- An historical approach to the role of the consumer.

### **RESULTS**

- In the first phase of consumer capitalism until the 1980s, the consumer was a player who was totally separate from the world of production, in which there were just two players: the worker and the manager. Organizational studies were responsible for thinking about what happened within plants, while those responsible for marketing took care of actions for consumers who were outside the plant.
- As from the 1980s, labor and consumption stopped being separate categories and consumption started controlling production more and more. One is increasingly talking about co-creation and co-production, situations in which the consumer assumes the function of the worker, most times without receiving anything for doing so. The purpose of organizations changes, therefore: it is no longer managing labor, but 'organizing' it around consumption and the work that must predominate.
- Workers in contact with customers need to become more and more emotionally involved in spreading the values of the brand and producing consumption.
- The new logic has also affected NGOs, which invest in the joint co-production of ethical, conscientious and responsible consumers with profitable companies.

### **WHAT'S NEW**

- The study enables questions to be asked regarding the use of watertight categories, like labor and consumption. New categories like "prosumer" or "social factory" have emerged.



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ORGANIZATIONAL STUDIES

# The professionals who have no formal work contract and what they think

## RESEARCH IN FOCUS:

Flexible work contracts: The different profiles of qualified Brazilian workers

Marcia Carvalho de Azevedo,  
Maria José Tonelli and  
André Luis Silva

Legal entity, 'parachutist', indifferent, pragmatic, independent, self-employed, businessperson, resentful and the Consolidated Labor Laws: flexible work experiences are heterogeneous.

## OBJECTIVE TO PERCEIVE HOW PROFESSIONALS EXPERIENCE FLEXIBLE WORK CONTRACTS.

### X-RAY OF THE RESEARCH

- 43 interviews were held with professionals from four Brazilian cities (São Paulo, Rio de Janeiro, Campinas and Brasília) who have flexible work contracts with just one company.
- Qualitative data analysis.

### RESULTS

- Nine worker profiles were identified:
- Legal entity: they like working as a legal entity, mainly because of the possibility of greater freedom and autonomy;
- 'Parachutist': an IT professional who has had to accept a flexible contract; this has become commonplace in the sector;
- Indifferent: for this professional, the type of work contract is irrelevant;
- Pragmatic: they analyze costs and benefits, mainly with regard to compensation;
- Independent: they seek to maximize their gains and limit the hours worked to take advantage of the multiple dimensions of life;
- Self-employed: they value creating and refuse work that does not interest them;
- Businessperson: they work a lot with the objective of opening their own business;
- Resentful: they show their bitterness and complain of a lack of reciprocity in the relationship with companies that establish flexible contracts;
- Consolidated Labor Laws: after working as a legal entity, these professionals then prefer a formal work contract.

### WHAT'S NEW

- The nine profiles provide a better understanding of the heterogeneity of feelings with regard to flexible work experiences.
- Flexible working is not synonymous with precarious work, because it does not necessarily cause losses from the professional or personal point of view.
- Professionals working with flexible contracts, however much they apparently do similar activities, understand differently the daily routine of the market in which they work.
- Brazil does not favor flexible ways of working being easily tried, except in cases in which professional and domestic demands can be reconciled.



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FINANCE AND ACCOUNTING

# Central Bank supervision strongly reduces risks in the banking sector

RESEARCH IN FOCUS:

*How banks respond to Central Bank supervision: Evidence from Brazil*

Richard Saito and  
João Andre Marques Pereira

While the interbank market itself is irrelevant for regulating the solvency indices of institutions, the Central Bank plays a central role in capitalization adjustments.

## **OBJECTIVE TO ANALYZE THE EFFECTS OF BRAZILIAN CENTRAL BANK SUPERVISION ON BANK CAPITALIZATION.**

### **X-RAY OF THE RESEARCH**

- A survey of the quarterly information of 112 commercial banks in Brazil that was sent to the Central Bank between 2001 and 2009.
- A calculation of the desired bank capital index and a statistical analysis to assess aspects like: (i) the influence of market discipline via bank funding data; (ii) peer influence via the surplus capital index of similar banks; (iii) bank supervision via the Central Bank rating; (iv) cyclical influence via the economic growth data of Brazil.
- Statistical analysis of the data.

### **RESULTS**

- Negative ratings from the Central Bank lead to subsequent positive adjustments in the capitalization index of banks. Central Bank supervision has a beneficial influence on the management of banks, which respond to negative assessments by increasing the proportion of capital or reducing their risk exposure.
- Bank supervision helps curb risky behavior, particularly by the less solvent banks.
- The interbank market has no influence as a discipliner of bank capitalization.
- Banks adjust their capitalization indices in accordance with their competitors.
- Banks adjust their capital indices in tune with economic cycles.

### **WHAT'S NEW**

- Central Bank supervision has a fundamental role to play in markets in which discipline is weak and for smaller banks that act pro-cyclically.
- Market discipline plays an irrelevant role in regulating capital indices, which may be a reflection of the lack of a developed and transparent financial system.
- Institutions adjust their capitalization in accordance with the behavior of their peers. But this adjustment may be both up and down; in the latter case with negative consequences for their financial stability.



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FINANCE AND ACCOUNTING

# The expansion of credit cooperatives and financial inclusion

## RESEARCH IN FOCUS:

*The recent adoption of correspondent banking by credit unions in Brazil: Financial inclusion or mimicry?*

Eduardo H. Diniz and  
Lauro Gonzalez

Just like traditional banks, cooperatives have been using correspondent banking to gain efficiency and not necessarily to adjust their services to meet the wishes of their poorest customers.

## **OBJECTIVE TO INVESTIGATE WHETHER THE ADOPTION OF THE CORRESPONDENT BANKING MODEL BY CREDIT COOPERATIVES HAS LED TO FINANCIAL INCLUSION.**

### **X-RAY OF THE RESEARCH**

- Case studies in the two biggest credit cooperative systems: Sicoob and Sicredi.
- Investigation of documents and field research in the towns of Panambi, Ijuí, Bozano and San Miguel, all in Rio Grande do Sul.
- Interviews with 22 managers of cooperatives and correspondents, customers, mayors and the presidents of industrial and trade associations.

### **RESULTS**

- Just like traditional banks, credit cooperatives have been adopting a correspondent banking system to reach the neediest population in Brazil. The model of correspondents enables the network to be expanded at a lower cost than opening a branch, and so the cooperatives are able to reach places where it would not be financially feasible to have their own branch.
- Cooperatives have used correspondents to focus on enabling their customers to pay their bills in a place that is closer to where they live. However, there is no clear relationship between this priority and a proposal for greater financial inclusion.

### **WHAT'S NEW**

- Cooperatives have been adopting a correspondent banking model more and more; there were just 50 establishments in 2007, a figure that rose to 3,300 in 2014. The managers of the cooperatives say that the aim of using correspondents is to improve financial inclusion. But the research showed that the main objective of this strategy is the same as that of traditional banks: to improve the efficiency of the management process of the cooperatives.
- In the future, as cooperatives gain more experience in the use of the correspondent channel, they might adopt a more innovative stance directed at increasing financial inclusion.



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FINANCE AND ACCOUNTING

# What defines the debt period of Latin American companies?

## RESEARCH IN FOCUS:

The maturity of indebtedness, financial development and legal institutions: A multilevel analysis in Latin American companies

Henrique Castro Martins  
and Paulo Renato Soares  
Terra

**Smaller and more liquid companies have shorter debt periods and Brazil's policies that promote economic stability and development of the financial sector help extend the indebtedness of companies.**

**OBJECTIVE TO INVESTIGATE THE INFLUENCE OF DIFFERENT GRUPS OF FACTORS (SPECIFIC TO THE COMPANY, SPECIFIC TO THE ACTIVITY SECTOR AND SPECIFIC TO THE COUNTRY) ON THE MATURITY OF INDEBTEDNESS OF COMPANIES IN LATIN AMERICA.**

### X-RAY OF THE RESEARCH

- Quantitative research with 1,820 companies from Argentina, Brazil, Chile, Colombia, Mexico, Peru and Venezuela, using data for the period between 1996 and 2009.
- Statistical analysis checking the effect that specific factors relating to companies, the sector and each country have on the period of indebtedness.

### RESULTS

- The main factors that had an influence on the maturity of indebtedness were company-specific.
- With regard to the isolated factors, company size, the liquidity of the company, the real rate of interest and development stand out as the principal determinants of debt maturity.
- Smaller companies have shorter debt periods, because creditors have less access to their information. Companies with greater liquidity have a greater proportion of short-term debt, which may occur because the managers want to have more autonomy to roll over the debt, or because the creditors demand to receive early when there are greater free cash flows.
- When interest rates in the economy are high, debts are shorter, because companies try and avoid high debt costs during the emission. Other country factors are the financial development and quality of the institutions, which reduce any mistrust with regard to the companies and enable them to have access to long-term funds.

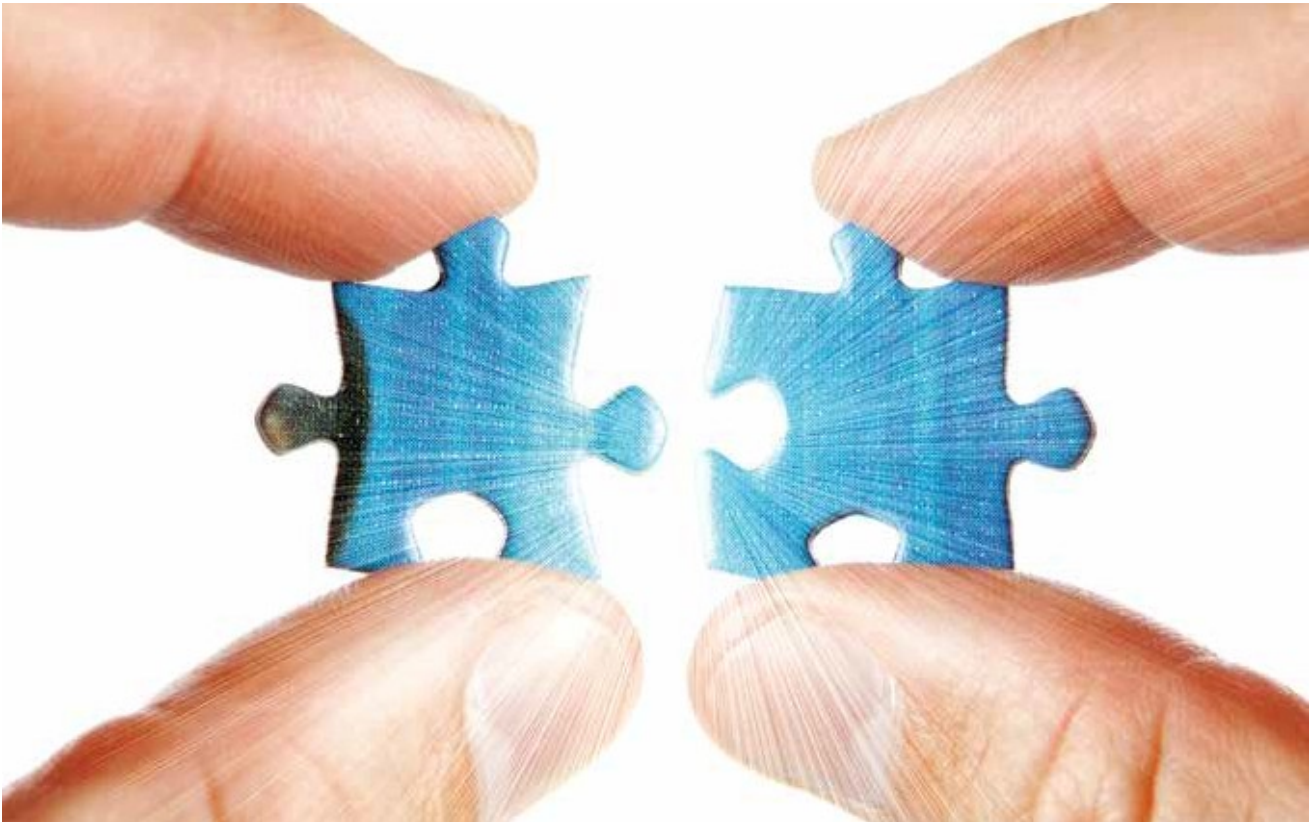
### WHAT'S NEW

- With regard to factors that are internal to the companies, each one needs to adjust the maturity of their debt to fit their size and liquidity. In matters relating to the sector, companies normally have no control over its management.
- A better quality institutional environment, a more developed financial sector and greater macroeconomic stability are relevant elements for determining the maturity of indebtedness of companies.



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FINANCE AND ACCOUNTING

# What drives mergers and acquisitions abroad?

## RESEARCH IN FOCUS:

Financial aspects of the firm have an influence on international investments: An empirical investigation of Brazil 2000-2013

Wesley Mendes-Da-Silva,  
Rafael Felipe Schiozer and  
Richard Saito

The foreign exchange rate and company size stand out as the main factors associated with investments outside Brazil.

## **OBJECTIVE** TO TEST EMPIRICALLY THE ROLE OF THE FINANCIAL CHARACTERISTICS OF COMPANIES IN BRAZIL AS DRIVERS OF INTERNATIONAL INVESTMENT VIA MERGERS AND ACQUISITIONS.

### X-RAY OF THE RESEARCH

- A survey of 482 merger and acquisition operations (94 international) carried out by 63 companies who were part of the Brazilian stock market index, *Ibovespa*, between 2000 and 2013.
- A survey of data from the companies' financial statements.
- Statistical analysis of the data.

### RESULTS

- The macroeconomic environment is an important determinant of merger and acquisition activity. There was a relative degree of stability in operations from 2000 to 2005, with fast growth in 2006 and 2007, the years when there was great macroeconomic liquidity in emerging countries, and in Brazil in particular. In 2008, with the start of the global financial crisis, there was a gradual decline in investments in mergers and acquisitions.
- The foreign exchange rate stands out as a key variable in the decision to invest abroad, because international targets become cheaper with the devaluation of the US dollar. A reduction of one cent in the *Real*/US dollar exchange rate is associated with an increase of between 0.49% and 0.71% in the probability of the firm making an international acquisition.
- Bigger companies tend to get involved in mergers and acquisitions in both Brazil and abroad. An increase of 1% in sales is associated with an increase of 4.6% in the probability of a company making an international acquisition.
- With the exception of the "company size" variable, no significant economic impact relating to the financial profile of the company was found with regard to their decision to invest abroad.

### WHAT'S NEW

- While the majority of studies evaluate how production resources have an influence on mergers and acquisitions, this work studied the financial aspects and discovered that only company size can be considered to be a relevant variable.
- The results suggest that macroeconomic environmental conditions, above all the rate of exchange, are determinants for carrying out international acquisitions. Caution is recommended, however, because the appreciation of the *Real* is generally associated with more favorable macroeconomic and institutional conditions, which may also be determinants of merger and acquisition activity.



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FINANCE AND ACCOUNTING

# What boosts the rotativity of share fund portfolios?

## RESEARCH IN FOCUS:

Determinants of the indices of rotativity of investment fund portfolios of actively managed shares

William Eid Junior and  
Pedro Luiz Albertin Bono Milan

The size of the funds and the educational background and experience of the manager have an influence on the movement of assets in the portfolio.

## **OBJECTIVE** TO IDENTIFY THE FACTORS THAT LEAD MANAGERS TO ALTER THE COMPOSITION OF THE ASSETS IN FUND PORTFOLIOS.

### X-RAY OF THE RESEARCH

- A survey of the data from between 2007 and 2011 of 47 active share investment funds, with on average 30,000 quota holders and more than R\$ 5 million in net shareholders' equity.
- Statistical analysis based on the following data: rotativity of the funds, net shareholders' equity, age of the fund, type of customer, administration charge, performance rate, initial deposit, number of quota holders, number of years the manager has been administering the fund, number of years the manager has been in the market and the educational background of the manager.

### RESULTS

- The average monthly rotativity index was 19.90%, with a standard deviation of 7.53%.
- Big funds and funds that charge large amounts for the initial deposit tend to have portfolios with high rotativity.
- The greater the time dedicated by the manager to the same fund, the greater tends to be the rotativity rate of the portfolio.
- The greater the experience of the manager in investment fund administration, the less tends to be the movement in the portfolio's assets.
- Managers with a degree in business administration tend to have bigger indices of portfolio rotativity than those with a degree in engineering or economics.

### WHAT'S NEW

- The study suggests that funds with the biggest resources explore possible market opportunities more frequently and alter the composition of the funds, which has an impact on the rotativity index of the portfolios.
- The result indicates that managers seek to justify remaining with the fund by buying and selling fund assets. At the same time, managers with more market experience seem to choose a more passive management strategy.
- The research shows that academic background is an important variable for the level of rotativity of the fund portfolio.



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FINANCE AND ACCOUNTING

# The logic behind multinationals entering Brazil

## RESEARCH IN FOCUS:

*Local complementary inputs as  
drivers of entry mode choices: The  
case of US investments in Brazil*

Jean-François Hennart,  
Hsia Hua Sheng and  
Gustavo Pimenta

**A study with American multinationals shows that investors prefer to look for a local partner when access to assets, like labor force, raw materials and licenses, is difficult.**

**OBJECTIVE** HOW ASSET ACCESSIBILITY HAS AN INFLUENCE ON THE INVESTMENT STRATEGIES USED BY AMERICAN COMPANIES WISHING TO BECOME ESTABLISHED AND COMPETE IN THE BRAZILIAN MARKET.

### X-RAY OF THE RESEARCH

- A survey of a sample of 297 direct American investment transactions in Brazil in the period between 2005 and 2010.
- Statistical analysis of the data.

### RESULTS

- Possibilities and access to the complementary assets of American multinationals are fundamental when choosing entry mode (joint-venture, subsidiary company, acquisition and new investment/greenfield).
- When the number of potential suppliers is low, the chance of the multinational entering Brazil via a joint-venture rather than by setting up a subsidiary company is greater.
- The more concentrated the sector, the greater the probability that the American company will choose a joint-venture instead of a subsidiary company. The probability is also greater that it will choose a new investment rather than an acquisition that may be difficult to accomplish.
- Even if a multinational has strong brands and a profound technical knowledge, the joint-venture may still be a very interesting way of investing if access to complementary assets is dominated by local companies in their own market.

### WHAT'S NEW

- The study proves that the choice of the investor between a joint-venture and a subsidiary company, and between a new investment and acquisition depends on the cost of access to the local assets that are necessary for producing and selling the products in the desired markets (such as land, labor force, raw materials, components, permits and forms of distribution).
- The more inefficient the markets for complementary local assets, the more likely that the foreign investors will enter via a joint-venture with a local company.



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FINANCE AND ACCOUNTING

# Banks that raise funds in the market pay bigger dividends in times of crisis

## RESEARCH IN FOCUS:

*Bank dividends and signaling to information-sensitive depositors*

Cristiano Forti and  
Rafael Felipe  
Schiozer

In using their resources to signal they are financially sound, banks run the risk of compromising their activities even more, which indicates that Central Banks should limit dividend payments in periods of instability.

## **OBJECTIVE** TO INVESTIGATE WHETHER DIVIDENDS ARE USED AS AN INSTRUMENT FOR SIGNALING FINANCIAL HEALTH TO DEPOSITORS.

### X-RAY OF THE RESEARCH

- Quantitative research with 168 large, medium-size and small Brazilian banks in the 2003 to 2010 period, including the financial crisis of 2008.
- The use of two Central Bank databases, one public with financial statements and regulatory indicators, and the other containing information about institutional investors, non-financial companies and individual investors.

### RESULTS

- Banks that raise funds in the wholesale market from major investors pay bigger dividends, because this particular public is more sensitive to such signaling.
- During crises, these banks increase dividends even more to signal that they are not in difficulty.
- This behavior is stronger in the case of small and medium-size private banks, which have no need to signal their health to shareholders, but to their investors (depositors).

### WHAT'S NEW

- Banks, particularly small and medium-size ones that raise funds from major investors, reduce their liquidity, even in difficult times, to try and show signs of their profitability and that they are not suffering from any solvency risks, based on the logic that profitable and liquid banks are able to pay bigger dividends than those that are facing difficulties.
- Today there is a great debate about the need to regulate bank dividends, since an increase in dividends during financial crises to signal liquidity and the quality of the assets may reduce the loan capacity of the institutions in sensitive times. So the results of the research support the proposal that Central Banks should limit the payment of bank dividends at times of financial instability.



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FINANCE AND ACCOUNTING

# Companies listed on the stock exchange in the United States are more transparent

## RESEARCH IN FOCUS:

*Disclosure under IFRS, legal-accounting traditions and enforcement: Comparing foreign firms cross-listed on the NYSE with firms listed only on local stock exchanges*

Edilene Santana Santos,  
Vera Maria Rodrigues Ponte,  
Sandra de Souza Paiva Holanda  
and Renata Alessandra Adachi

When companies in Brazil, England and continental Europe decide to issue shares in the North American market, any information disclosure deficiencies relating to country of origin contexts are eliminated.

## **OBJECTIVE** TO EVALUATE IF THE REQUIREMENTS OF THE NORTH AMERICAN STOCK EXCHANGE FOR FOREIGN COMPANIES ARE SUFFICIENTLY STRONG TO ELIMINATE DIFFERENCES IN THE LEVEL OF TRANSPARENCY THAT ARE RELATED TO COUNTRY OF ORIGIN

### X-RAY OF THE RESEARCH

- A survey of information about companies listed on the North American stock exchange (with ADRs on the NYSE) and companies only listed on stock exchanges in Brazil, England or continental Europe.
- The basis of comparison was how companies adapt to the disclosure requirements of the international accounting standards (IFRS) in the item “transactions with related parties” (IAS 24).
- Statistical analysis of the data.

### RESULTS

- Brazilian companies that are only listed locally have a lesser level of transparency than British and continental European companies listed only on their local stock exchanges.
- No significant differences were found in the level of transparency of companies that are doubly listed on the NYSE and in Brazil, the UK and continental Europe.

### WHAT'S NEW

- The results of the research suggest that deficiencies at the level of transparency associated with the traditions of the jurisdiction of origin of the companies tend to be eliminated by the application of the rules of the North American stock exchange.



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FINANCE AND ACCOUNTING

# The limits of crowdfunding

## RESEARCH IN FOCUS:

*The impacts of fundraising periods and geographic distance on the financing of music production via crowdfunding in Brazil*

Wesley Mendes-Da-Silva,  
Luciano Rossoni,  
Bruno S. Conte,  
Cristiane C. Gattaz and  
Eduardo de R.  
Francisco

Collective financing platforms in Brazil receive few funds from investors outside the entrepreneurs' own circle of contacts.

## **OBJECTIVE** TO CHECK IF THE USE OF CROWDFUNDING IN MUSIC PRODUCTION PROJECTS MEANS THAT INVESTORS WHO ARE MORE DISTANT FROM THE RELATIONSHIP CIRCLE OF THE ARTISTS ARE MORE CONFIDENT ABOUT SUPPLYING FUNDING.

### X-RAY OF THE RESEARCH

- A survey of a database containing 1,835 operations with investors in 150 Brazilian municipalities in 10 music production projects hosted on the biggest crowdfunding platform in Brazil, Catarse.
- A statistical analysis using georeferencing tools and linear regression models in an integrated way.

### RESULTS

- Most of the capital injections come from investors who live close to the entrepreneurs.
- Investments in the same place in which the entrepreneurs live are, on average, more substantial than those that *[come from investors who]* are more distant.
- Investors are more inclined to give to projects that are hosted for a longer period on a crowdfunding platform.

### WHAT'S NEW

- Unlike studies carried out in Europe, financing via crowdfunding the projects of artists in Brazil who are starting out seems to come predominantly from their network of contacts. Catarse itself discloses on its site that at least 50% of the funds come from the circle of people close to the entrepreneurs.
- The results do not confirm the widely spread argument that in emerging markets crowdfunding reduces the insecurity arising from the lack of information with regard to entrepreneurs.
- The study suggests that it is necessary to construct new approaches so that the entrepreneurs of crowdfunding platforms can attract external capital and reduce risks to investors, for example, with governance models, strengthening relationships with investors, financial measures and improving the regulatory and legal framework.



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INFORMATION MANAGEMENT

# A methodology for dealing with complex situations

RESEARCH IN FOCUS:

*Unravelling the soft systems methodology*

Ion Georgiou

The Soft Systems Methodology (SSM) provides a step-by-step guide to understanding a problematic situation; identifying necessary transformations and designing models for operationalizing the changes.

## OBJECTIVE TO SHOW HOW THE SOFT SYSTEMS METHODOLOGY (SSM) FUNCTIONS.

### X-RAY OF THE RESEARCH

- A survey of the historical development of the Soft Systems Methodology.
- A description of how SSM functions.

### RESULTS

- It is important to show how the Soft Systems Methodology (SSM) can bring about transformations in complex organizational problems.
- There are three phases in the way SSM functions:
  - Understanding the problematic situation, because it is this knowledge that is going to determine the quality, relevance and effectiveness of the solution. There are three analytical actions: (i) identifying whether the agents involved in the situation are people or organizations; (ii) identifying the type and extent of the power of those involved with regard to the situation; and (iii) describing (and even changing) the social and political context of the situation.
  - The second phase is identifying the transformations necessary in the problematic situation. The idea is to name each problem and its solution; for example, poor service quality, which will be transformed into acceptable service quality.
  - The third phase is systematic planning for solving all the transformations identified. SSM helps deal with the inter-relationships between transformations in large scale complex change projects.
- (iv) Contextualization of the transformation helps in the process and raises the following questions: (i) Who is going to benefit and who is going to lose with the transformation? (ii) Who is going to make the transformation? (iii) Why make the transformation? Who can stop or change the transformation? (v) What restrictions are present in the transformation?
- To integrate the replies to all the questions raised in the previous item, a single sentence needs to be written that defines the planning objective for transforming the problem and then for defining the necessary activities.

### WHAT'S NEW

- Based on a step-by-step approach the study shows how decision-makers can use the Soft System Methodology (SSM) for dealing with complex situations.



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OPERATIONS AND LOGISTICS MANAGEMENT

# Innovative companies are unable to manage the innovation process

## RESEARCH IN FOCUS:

The competences of the innovative organization in national quality foundation companies

Marcos Augusto de Vasconcellos,  
Luiz Carlos di Serio,  
Silvana Marques dos Santos Pereira Aguiar,  
Adriana Baraldi and  
Glessia Silva

The organizations most concerned with the quality of their management are able to innovate but need to link their competences so they can really generate results.

## **OBJECTIVE TO IDENTIFY GAPS IN THE INNOVATION MANAGEMENT OF COMPANIES KNOWN FOR THE QUALITY OF THEIR ADMINISTRATION.**

### **X-RAY OF THE RESEARCH**

- Research with companies that are the sponsors of the Paulista Institute of Excellence in Management and the National Quality Foundation into the five competences that form part of the methodology of the Innovation Forum of FGV/EAESP: leadership and strategic intention (principles, institutional intentions and actions for innovation); internal innovative environment (management model, culture, informal and formal networks that favor innovation); people (qualifications, learning and motivation linked to innovation); innovation processes (focus on innovation in process management, capital, knowledge, strategic alliances, the generation of ideas and projects, implementation); and results (process and financial results, impact and fulfilling objectives).
- On-line questionnaire distributed with 93 valid replies.
- Statistical analysis of the data.

### **RESULTS**

- Companies find it difficult to manage the “innovation processes” competence, which is responsible for linking together the other competences.
- Although companies have innovation inputs, the difficulty they have in managing the process affects their capacity for getting good results.

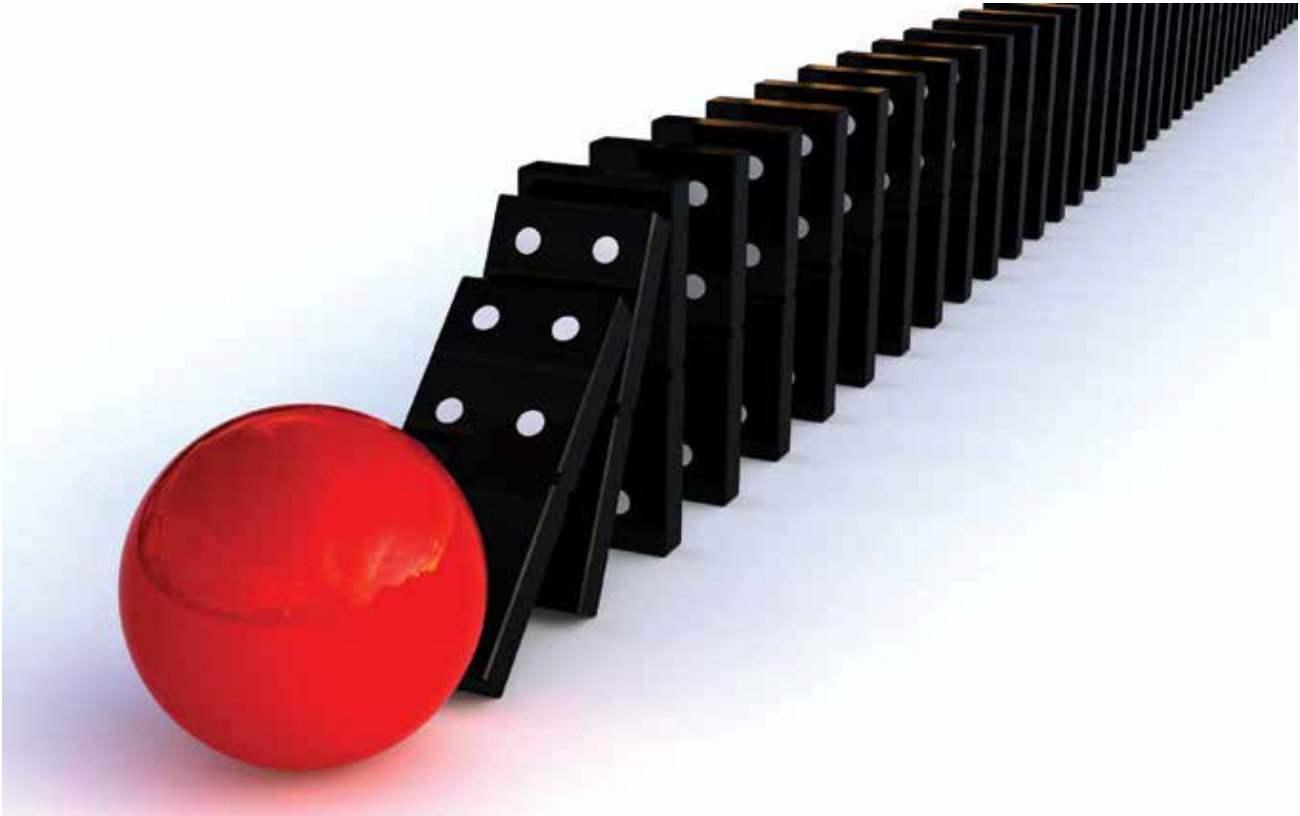
### **WHAT'S NEW**

- The study draws attention to the difficulty companies have in managing the innovation process. This insight allows companies to understand the need to link innovation competences to a dynamic and interactive process that allows them to generate long-term results.
- Companies should define clearer innovation objectives and outline strategies directed at fulfilling these objectives.



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OPERATIONS AND LOGISTICS MANAGEMENT

# How to prepare supply chains for facing up to crises

## RESEARCH IN FOCUS:

The importance of flexibility for forming resilience in service chains: A case study in health

Marcelo Catunda Bradaschia  
and Susana Carla Farias Pereira

The example of the hospital that faced a H1N1 flu virus pandemic shows that the prior construction of resources is very important so that emergency measures are taken that prevent the collapse of the production chain at critical times.

## **OBJECTIVE** TO UNDERSTAND HOW SERVICE SUPPLY CHAINS ADAPT TO UNEXPECTED EVENTS AND BREAKDOWNS AND BECOME RESILIENT.

### X-RAY OF THE RESEARCH

- The case study of a hospital service chain to check how it reacted to the H1N1 pandemic that affected Brazil in 2009.
- Sixteen in-depth interviews were carried out with various links in the chain: hospital, doctors and nurses, the pharmaceutical industry, the Department of State and the Ministry of Health.

### RESULTS

- Faced with a pandemic, some aspects of the chain were redesigned. The hospital can make emergency purchases from other suppliers without the need for lengthy public bid contracts.
- Resources were created and altered, such as adapting the laboratory and its professionals to carry out exams internally to check for infection by the H1N1 virus; and the preparation of the human resources needed for dealing with the situation (even hospital doormen/ porters started screening patients).
- Resources were prioritized, with ICU beds in various department being allocated for use by the infectious illnesses department.
- Resources that were under-utilized, even to a small extent, helped the hospital face up to the pandemic.
- The possibility of existing processes being eliminated was also presented as a way of creating flexibility. In this case, bureaucratic barriers were overturned to allow medication to be used that was close to its use-by date.

### WHAT'S NEW

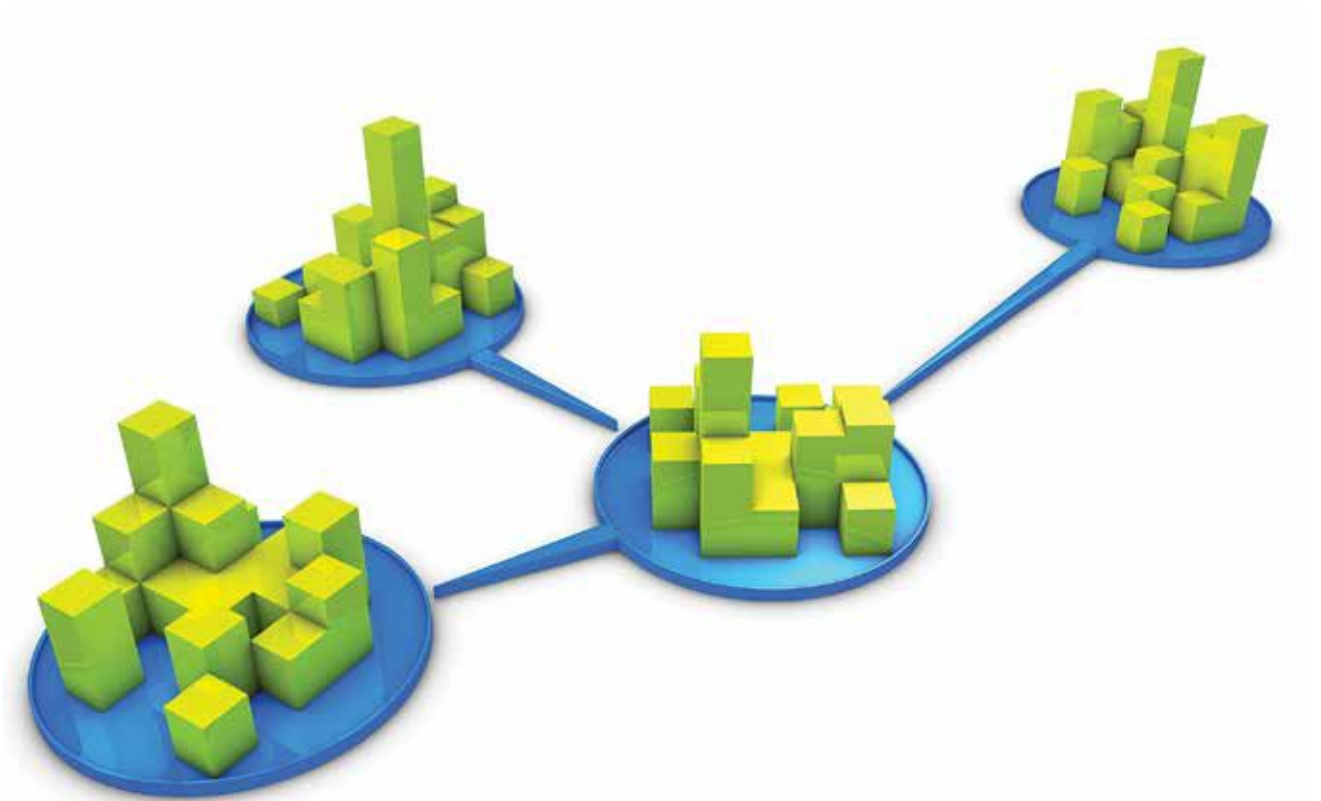
- There are several aspects with the potential for contributing to the formation of flexibility in the service supply chain and they all need the prior preparation of resources. In other words, choosing or constructing resources beforehand is important for ensuring flexibility in chains.



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OPERATIONS AND LOGISTICS MANAGEMENT

# How to diagnose supply chain management

## RESEARCH IN FOCUS:

*Evaluating supply chain management: A methodology based on a theoretical model*

Alexandre Tadeu Simon,  
Luiz Carlos di Serio,  
Sílvia Roberto Inácio Pires and  
Guilherme silveira Martins

The method helps professionals and academics evaluate the strengths and weaknesses of companies in the administration of their suppliers and customers.

## **OBJECTIVE TO PROPOSE A METHOD FOR EVALUATING SUPPLY CHAIN MANAGEMENT IN COMPANIES.**

### **X-RAY OF THE RESEARCH**

- Preparation of a method for evaluating the management of supply chains from 11 axes based on business processes, the horizontal structure of the chain and on initiatives and the practices used in managing the supply chain.
- Applicability test of the method based on the results of interviews with academics and professionals and case studies in three companies (and their chains).

### **RESULTS**

- A total of 112 requirements were established to be evaluated in 11 axes.
- Nine axes are of key processes: managing the relationship with the customer; managing customer service; demand management; dealing with orders; managing the manufacturing flow; managing supplier relationships; product development and sale; and managing returns.
- The tenth axis refers to requirements related to the horizontal structure in the chain to evaluate whether there is supply chain management that goes beyond direct consumers and suppliers.
- The eleventh axis contains the initiatives and practices for supporting management processes. The study found that the only truly indispensable aspect is the reduction and consolidation of the supplier and consumer base.

### **WHAT'S NEW**

- The research introduces a diagnosis tool that enables companies to evaluate their situation with regard to supply chain management.
- The diagnosis allows companies to identify the strengths and weaknesses in the management of their supply chain and to define actions for improving the degree of adherence to the reference model.



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OPERATIONS AND LOGISTICS MANAGEMENT

# The water crisis is not of concern to companies in the food chain

## RESEARCH IN FOCUS:

The impact of natural disasters on supply chains in Brazil

Priscila Laczynski de Souza Miguel,  
Renata P. Brito,  
Susana Carla Farias Pereira,  
Alexandre Luis Prim and  
Marcelo Martins de Sá

Despite the fact that the water shortage that occurred in São Paulo is affecting all businesses, the managers of chains, like coffee, sugarcane and orange are doing nothing to face up to the risks.

## **OBJECTIVE** TO INVESTIGATE HOW SUPPLY CHAIN ORGANIZATIONS HAVE PREPARED FOR WATER CRISES, LIKE THE ONE THAT OCCURRED IN SÃO PAULO IN 2014 AND 2015.

### X-RAY OF THE RESEARCH

- Case studies in three food chains: coffee, sugarcane and oranges.
- In-depth interviews with 16 food producers and processors, and the industry, the retail trade and government.

### RESULTS

- Interviews in all the links in the chain show that there were losses with the water crisis. The biggest loss was a reduction of 20% to 30% in crops and a loss in quality. Rural producers also mentioned indirect impacts, like an increase in energy costs and a freeze on investments. But they have taken no measures to irrigate their land, because they consider the risk to be low and the cost high.
- Despite all those interviewed recognizing the losses caused by the water crisis, only one quarter of them showed any concern with future crises. For the most part, drought and climate change are not important risk factors for their business.
- Companies that are close to the end customer, like a fast-food chain that was surveyed, put together strategies for mitigating water shortages, but only when the government announced that it was about to implement a rationing system in São Paulo. Another aspect is that this knowledge was not passed on to the weakest links in the chain.
- Factors that have a positive influence on risk mitigating strategies are access to real information about the weather situation and negative experiences. On the other hand, companies do not prepare themselves for this source of risk for three reasons: they see Brazil as an infinite source of natural resources; they consider that they are more vulnerable to other risk categories; and mitigation costs are very high.

### WHAT'S NEW

- Supply chains suffer from the impacts of climate change. But their managers have still not perceived natural disasters as a risk to their operations. They do not intend to take risk mitigation actions, because they do not know what to do and they also do not feel responsible for doing anything.
- Different companies in Brazil need to be educated to make them aware of climate change and its potential effects on their operations in order to allow them to adapt to new temperature conditions.



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OPERATIONS AND LOGISTICS MANAGEMENT

# Fear of the Brazil risk

## RESEARCH IN FOCUS:

Risk management and supply chains

Priscila Laczynski de Souza Miguel,  
Susana Carla Farias Pereira,  
Alexandre Luis Prim,  
Guilherme Zamur,  
Marcelo Martins de Sá,  
Beatriz Sena and  
Ligia Rezende

More significant than operational factors related to production, demand, supplier and logistics management, is the political and economic uncertainty that is a concern for those who have to manage the value chain.

## OBJECTIVE TO CHECK HOW MANAGERS IN BRAZIL ASSESS RISKS IN SUPPLY CHAINS.

### X-RAY OF THE RESEARCH

- A focus group was held with 13 specialists to adapt international knowledge about supply chain risks to the Brazilian context.
- A questionnaire was sent to companies in various sectors and 37 valid replies were received.
- Statistical analysis of the data.

### RESULTS

- Brazilian companies perceive the country risk as being the main one. This risk includes political instability, micro and macro-economic uncertainties, permit difficulties and variations in governmental and institutional laws.
- Then, in order of importance, they see risks involving the supplier (single, poor quality, unreliable, inflexible, centralizing) and demand (mistakes in demand forecasts, a lack of or inaccurate information).
- Of relatively minor importance, managers identify risks involving infrastructure (insufficient production capacity, the malfunctioning of and inadequate security in the information system), logistics (inadequate handling of stocks, incorrect packaging, bad transportation management, delays in deliveries, poor quality service providers), and manufacturing (interruption of machinery and equipment, variability in the process, indefiniton of quality procedures, labor shortages).
- Uncontrollable external risks were considered to be less relevant. These risks include piracy, opportunistic employee behavior, terrorist attacks, epidemics, natural disasters and difficulty in complying with regulatory obligations and organizational codes of conduct.

### WHAT'S NEW

- Developing countries present risks to chains that are different from those in more developed economies; the country risk in Brazil was considered to be the most critical, given the great uncertainty and political and economic instability.
- Contrary to what was found in developed countries, managers in Brazil are not afraid of risks related to natural disasters, piracy or terrorist attacks. There seems to be a perception that these risks occur in regions that are distant from where the companies operate.



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OPERATIONS AND LOGISTICS MANAGEMENT

# The benefits of aligning and integrating production management

## RESEARCH IN FOCUS:

Operational practices, collaboration and competences in the supply chain: A study in three sectors in Brazil

Eliciane Maria da Silva,  
Ely Laureano Paiva,  
Camila Lee Park and  
Alexandre Luis Prim

**When suppliers and customers jointly develop areas like quality management, product development, logistics and IT and collaborate to overcome crises, they are able to respond to market demands with better quality and more agility.**

## **OBJECTIVE TO ANALYZE THE EFFECTS OF PRODUCTION PRACTICES AND INTER-ORGANIZATIONAL COLLABORATION ON THE DEVELOPMENT OF OPERATIONAL COMPETENCES IN THE SUPPLY CHAIN.**

### **X-RAY OF THE RESEARCH**

- Research carried out with three links in the supply chain (buyers and first and second level suppliers) of multinational companies with plants in Brazil in three sectors (automotive, electrical and electronic and chemical).
- Twelve interviews were held *in loco* and 96 companies were surveyed.
- Statistical analysis of the data.

### **RESULTS**

- Strategic suppliers and client companies adopt the following practices jointly: quality management (72%), product development (61%), and logistics and IT (41%).
- With regard to collaboration, for 64% of those interviewed there is an alignment of the objectives in the supply chain that contributes to the development of competences. In one of the cases analyzed, cooperation between the buyer and main suppliers was essential for dealing with stock management problems in a period in which there were great changes in demand; this relationship also helped in negotiations with second level suppliers located in Asia.
- The study identified the development of competences in operational improvement (61%), customization (58%), rapid response to the market (59%) and cooperation (72%).

### **WHAT'S NEW**

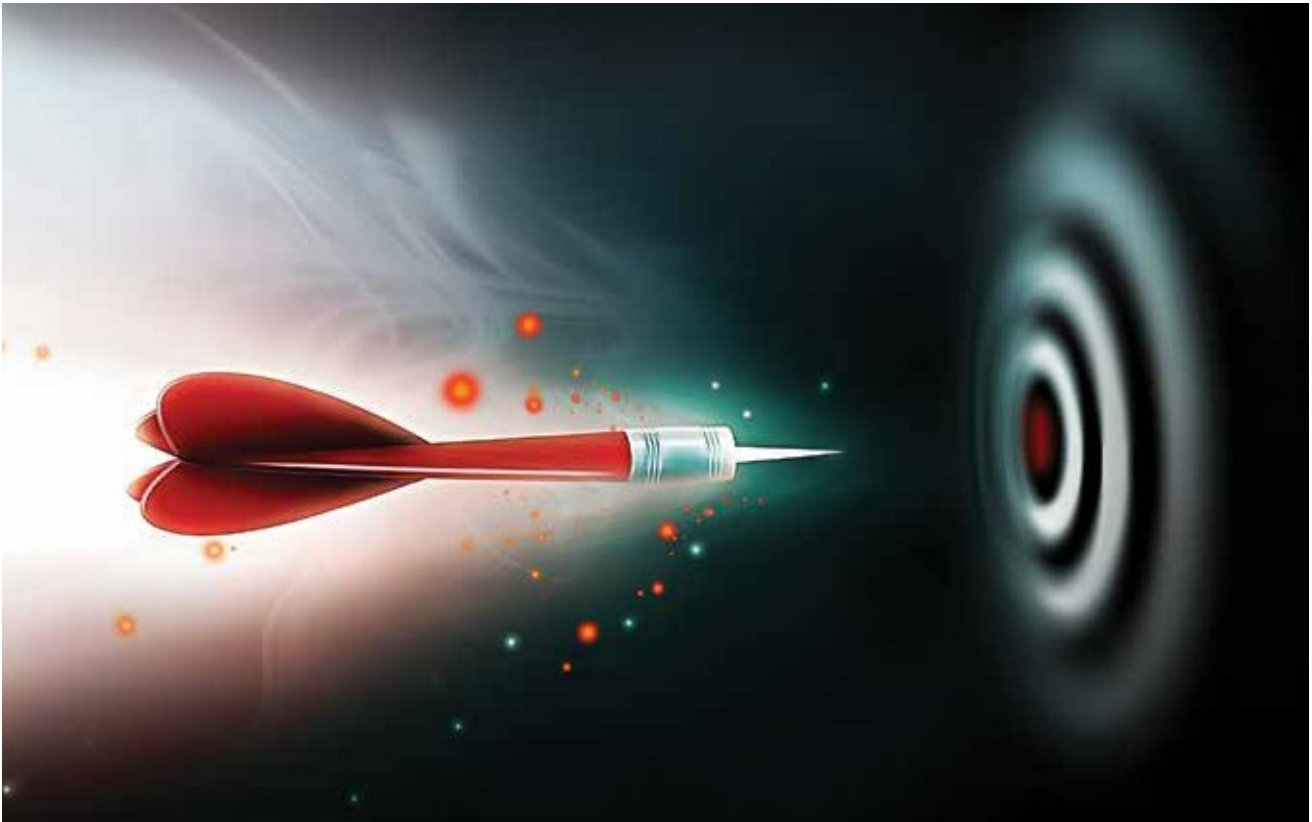
- Integrated production practices, like quality management, product development, logistics and IT help affirm the quality of products and processes, and increase agility in the supply chain.
- Collaboration between organizations is also fundamental for developing these competences. In a diverse global environment, companies need to cooperate to deal with micro and macro-economic problems.



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OPERATIONS AND LOGISTICS MANAGEMENT

# The impacts of supply chain management on strategic performance

## RESEARCH IN FOCUS:

A meta-analysis of the relationship between supply chain management practices and performance

Susana Carla Farias Pereira,  
Eliciane Maria da Silva  
and Júlia Pinto de Carvalho

The integration of logistics with suppliers and customers and, above all, activities related to aligning objectives, decisions and incentives, contribute towards increasing company profitability.

## **OBJECTIVE TO IDENTIFY THE MOST FREQUENT PRACTICES IN THE SUPPLY CHAIN AND HOW THEY RELATE TO BUSINESS PERFORMANCE.**

### **X-RAY OF THE RESEARCH**

- Research carried out of more than 2,000 articles that specialize in supply chain management.
- Mapping out the practices and competences most widely used in supply chains.
- Statistical analysis to assess the impact of practices and competences on the operational performance of the business.

### **RESULTS**

- The main management practices identified were: integration (internal, of logistics activities between functional areas within the organization; and external, with customers and suppliers), and cooperation/collaboration (sharing information, synchronizing objectives and decisions, aligning incentives, collaborative communication and the creation of joint knowledge).
- The operational performance of the supply chain is correlated with integration practices (31.8%) and collaboration practices (24.5%).
- Business performance is correlated with integration practices (27.4%) and with collaboration practices (34.8%).
- The impact of the supply chain management practices tends to be greater on strategic business performance than on operational performance, despite this difference being small.

### **WHAT'S NEW**

- Supply chain studies point to the relevance of integration and collaboration practices.
- It might be natural to think that actions relating to operations have a greater impact on operational performance and an indirect reflection on organizational results. It was found, however, that supply chain management practices have a slightly greater effect on overall performance than on operational performance.
- In detailing the type of impact, it was seen that integration practices are more important to operational performance, while collaboration practices are more relevant to business performance.



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## SUSTAINABILITY

# Why do banks voluntarily take part in environmental initiatives?

**RESEARCH IN FOCUS:**

*Why join a carbon club? A study of the banks participating in the Brazilian “BusinessforClimatePlatform”*

Renato J. Orsato,  
José Guilherme F. de Campos,  
Simone R. Barakat,  
Mariana Nicolletti and  
Mario Monzoni

Even though they are not important emitters of greenhouse gases, large financial institutions in Brazil join clubs for reducing carbon emissions in order to influence regulations and gain knowledge and reputation.

## **OBJECTIVE TO IDENTIFY THE REASONS THAT LEAD BANKS THAT DO NOT HAVE HIGH DIRECT CARBON EMISSIONS TO TAKE PART IN VOLUNTARY ENVIRONMENTAL INITIATIVES IN BRAZIL.**

### **X-RAY OF THE RESEARCH**

- Field research in four major banks that operate in Brazil (Banco do Brasil, Itaú Unibanco, Bradesco and HSBC), all members of the voluntary environmental initiative, “Business for Climate Platform” (EPC), of the Center for Sustainability Studies of FGV (GVces).
- Employees from the sustainability area of the banks were interviewed.
- Analysis of the Carbon Disclosure Project (CDP) sustainability reports issued by the companies.

### **RESULTS**

- The following reasons lead to the participation of banks in voluntary initiatives for reducing carbon emissions: (i) the possibility of influencing the regulatory environment; (ii) a gain in reputation; (iii) gains with innovation and in being pioneers; (iv) access to knowledge; and (v) mitigating risks.
- Pressure from consumers and society and the behavior standards of the sector based on voluntary agreements are institutional factors that encourage banks to take part in voluntary environmental initiatives.

### **WHAT’S NEW**

- The study shows that banks, despite not having direct greenhouse gas emissions (GHG), take part in voluntary initiatives whose objective is to manage and reduce these emissions, acting in a proactive way given the pressures they face and the opportunities available.
- As the Brazilian market has few regulations with regard to climate change, it is perceived that the major banks in Brazil make the strategic choice to take part in voluntary initiatives because they have the capacity and the resources to do so (for example, they are profitable, have international operations and are listed on the stock market).



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SUSTAINABILITY

# Stakeholders take sustainability practices to another level

**RESEARCH IN FOCUS:**

*Differences in sustainability practices and stakeholder involvement*

Sergio Bulgacov,  
Maria Paola Ometto and  
Márcia Ramos May

Without the help of external partners, companies tend to consider sustainability actions to be more of a burden than a strategic opportunity.

## **OBJECTIVE** TO CREATE AN ANALYSIS MODEL OF THE INFLUENCE OF STAKEHOLDERS ON THE SUSTAINABILITY PRACTICES OF COMPANIES.

### X-RAY OF THE RESEARCH

- Research, carried out between June 2010 and August 2011, with 18 companies from the State of Parana that have sustainable strategic practices.
- Data collected from websites, meetings and reports; interviews; negotiations with customers and suppliers accompanied; the researchers acted as interns for two weeks.

### RESULTS

- The companies were divided into four types of orientation with regard to sustainability:
  - Nine companies that focus on operational activities and have little stakeholder-orientation (basically actions relating to the internal consumption of resources and waste disposal).
  - Two companies with a focus on strategic activities and that have little stakeholder-orientation (activities that go beyond the legal requirements incorporated into questions of reputation and the decision-making process).
  - Three companies that focus on operational activities and are very stakeholder-oriented (external auditing and risk and impact analysis; environmental management for selecting raw materials, technical training and feedback for customers with the help of suppliers).
  - Four companies that focus on strategic activities and are very stakeholder-oriented (full strategic plan involving sustainable issues; large involvement of the stakeholders in the strategy and actions, policies, plans and communication; the continuous development of sustainable products; involvement in the social value chain).

### WHAT'S NEW

- In the initial stages, without the involvement of the stakeholders, sustainability seems to be more of an inconvenience than a driver of multiple opportunities.
- The involvement of external partners stimulates the development of products, improves the strategic positioning and drives the reputation of the organization.



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# Public Administration

PUBLIC MANAGEMENT

PUBLIC POLICIES





PUBLIC MANAGEMENT

# How to engage citizens in the struggle to improve cities

## RESEARCH IN FOCUS:

*Uncovering micro-practices and pathways of engagement that scale up social-driven collaboration: A practice view of power*

Sonia Tello-Rozas,  
Marlei Pozzebon and  
Chantale Mailhot



Instead of wasting energy on those that are going to control scarce resources, social collaboration platforms may become more effective if they delegate power to the co-creation of abundant resources.

## **OBJECTIVE TO UNDERSTAND HOW A COLLABORATION PLATFORM MANAGES TO ENGAGE CITIZENS SO THEY COLLECTIVELY FIGHT TO IMPROVE THE QUALITY OF LIFE OF THEIR CITY.**

### **X-RAY OF THE RESEARCH**

- A case study carried out between 2007 and 2012 of the *Rede Nossa São Paulo* (NSP) [Our São Paulo Network], which involved almost 700 organizations for improving indicators (culture, health and education) and that achieved victories, like the establishment of the Targets Plan and consolidation of the Citizenship Monitoring Center.
- An analysis of documents, reports and interviews.
- Construction of an engagement model that explains how large-scale collaboration leads to social and political changes.

### **RESULTS**

- Three interdependent categories of engagement were found: mobilization (which involves bombarding everybody with information and inviting specific audiences); organization (via processes for facilitating the infrastructure of the debate, support for deliberation actions and the preparation of summaries and artifacts); and action (publishing documents and promoting events; putting into practice proposals by pressuring the authorities; and forming partnerships).
- Instead of centralizing the control of scarce resources, the 'Our São Paulo Network' decided to share information and knowledge (resources that are abundant) in such a way as to mobilize a wide variety of players and ensure that they became organized. During the process, management was decentralized and delegated to co-create new resources.

### **WHAT'S NEW**

- The predominant view in the administration area about the management of scarce resources needs to be challenged in order to understand and stimulate major collaboration aimed at bringing about social and political change.
- A collaboration platform, which is by nature heterogeneous, requires an articulator that comes from civil society and that delegates power and facilitates the production of new knowledge in a hybrid and bottom-up way.



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PUBLIC MANAGEMENT

# How non-profit private entities accounted to the federal government in their agreements, 2008-2014

## RESEARCH IN FOCUS:

How non-profit private entities (NPPEs) accounted to the federal government in its Management of Fund Distribution Agreements and Contracts system between 2008 and 2014

Sergio Goldbaum,  
Euclides Pedrozo Jr. and  
Thomaz Anderson Barbosa

**Non-profit private entities find it more difficult to submit their accounts in agreements they have with the federal government than the latter has with other administrative spheres, especially municipalities.**

## **OBJECTIVE TO ANALYZE THE ACCOUNTING STATISTICS OF AGREEMENTS OF NON-PROFIT PRIVATE ENTITIES (NPPEs) WITH THE FEDERAL GOVERNMENT BETWEEN 2008 AND 2014.**

### **X-RAY OF THE RESEARCH**

- A survey of the theoretical and conceptual definitions of NPPEs, in particular the scope of their activities, the relationship between NPPEs and government and the way in which NPPEs submit their accounts.
- Analysis of the evolution of the regulatory framework dealing with the relationship between civil society organizations and the federal government up until 2015, especially with regard to their accountability in partnerships and agreements.
- A portrait and analysis of accountability in parts by NPPEs that went into partnership with the government from 2010 until 2014. The research considered 11,800 government partnerships with NPPEs, or 14.8% of the 79,900 partnerships entered into by government between 2008 and 2014.

### **RESULTS**

- Of the 11,800 partnerships between government and NPPEs, 7,400 were finalized, of which 1,400 were in default or waiting for a further 90 days after the end of the agreement period for the accounts to be submitted.
- The difficulties NPPEs have when it comes to submitting their accounts seem to be bigger in lesser value agreements (up to R\$ 600,000), and are proportionally more frequent in the culture and tourism segments.
- The results of the research suggest that the difficulties encountered in submitting accounts were greater in the government's agreements with NPPEs than its agreements with other administrative spheres (especially municipalities).
- The results underline the need to pay attention to possible voluntary failings, especially the tendency to hire workers who are less well-qualified professionally.

### **WHAT'S NEW**

- An up-date of the conceptual definition of NPPEs, the scope of their activities, their relationship with government and submitting accounts in accordance with recent international literature.
- A synopsis of the evolution of the regulatory framework of the sector and comparative flow-charts with regard to the process for submitting accounts described in Normative Instruction 1/1997 and Law 13,109/2015.
- Detailed analysis of the data from the Management of Fund Distribution Agreements and Contracts system between 2008 and 2014.



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PUBLIC MANAGEMENT

# The disastrous management of the fight against Ebola

## RESEARCH IN FOCUS:

The response to a bio-disaster emergency: the Ebola epidemic in West Africa

José Carlos Barbieri,  
Alvaro Escrivão Junior,  
Renata de Oliveira Silva,  
Artur Cesar Sartori Lopes and  
Dafne Oliveira de Morais

**Inefficient actions by the international community show the need to develop new models and instruments for dealing with large scale bio-disasters.**

## **OBJECTIVE TO IDENTIFY THE CHALLENGES FACED BY HUMANITARIAN PROFESSIONALS IN AN EMERGENCY RESPONSE OPERATION TO A BIO-DISASTER, BASED ON THE CASE OF THE EBOLA EPIDEMIC.**

### **X-RAY OF THE RESEARCH**

- Analysis of the communication in the media, scientific journals and reports.
- Interviews conducted with four humanitarian professionals who took part in the response operation to the Ebola epidemic in 2014 in West Africa, which was carried out by the biggest and most relevant humanitarian agencies and organizations in the world.

### **RESULTS**

- Fear of contagion was the biggest challenge to recruiting health professionals, because the mortality rate of Ebola is as much as 90%.
- With the late and insufficient response by the international community, it was difficult to plan daily actions. Planning was reassessed according to the moment, which increased by even more the feeling of insecurity of the professionals who were in the field.
- The effectiveness of the logistics for supporting field actions was compromised in this difficult planning process, leading to a breakdown in the supply of medication, personal protection equipment and other necessary materials.

### **WHAT'S NEW**

- The Ebola risk was underestimated by the international community, resulting in inefficient actions. There were not enough human, material and financial resources, in addition to there being an anthropological and social ignorance of the affected areas and faulty decision-making.
- The research reveals the difficulty in using conventional humanitarian logistics procedures when faced with more severe problems. Previous experience with the Ebola epidemic, which had been restricted to rural and forest regions, proved inadequate when the virus spread to an urban environment, which shows the need to develop new management models and instruments for dealing with expanded bio-disasters.
- In order to respond to bio-disasters, maintain functions and quickly return to previous functions, the low resilience of the various players involved must be taken into consideration.



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PUBLIC MANAGEMENT

# How the use of public funds in the cultural area is defined

## RESEARCH IN FOCUS:

The action of corporate foundations and institutes in culture in Brazil today

Miqueli Michetti

Based on fiscal incentives, large finance groups have been concentrating their policy decisions about cultural investments, to the benefit of some and the detriment of others.

## **OBJECTIVE** TO UNDERSTAND HOW PRIVATE CORPORATE FOUNDATIONS AND INSTITUTES HAVE ACTED IN THE CULTURE AREA IN TODAY'S BRAZIL.

### X-RAY OF THE RESEARCH

- Description and analysis of the main programs and initiatives developed by the most significant corporate foundations and institutes in the culture area in the country.
- A survey of the sources of funds that sustain the actions of these institutions, with a qualitative and quantitative analysis of the use of public funds coming via tax break mechanisms.
- Analysis of material produced by foundations and institutes (taken from documents, events, websites and interviews) and the relationships established with companies and government.

### RESULTS

- The most active private foundations and institutes in the culture area are linked to large Brazilian business groups in the financial and communication sectors.
- Most of the resources that fund the activities of the corporate foundations and institutes surveyed derive from public incentive mechanisms, especially from tax break laws, like the Audiovisual and Rouanet Laws.
- In their actions these non-profit institutions, linked to large companies, act publicly by way of resources that are to a large extent public. Therefore, what we see are the arms of large private companies, especially in the finance sector, arbitrating the destination of public funds to an area that is constitutionally a right in the country.
- Some companies act directly and sponsor one-off initiatives, like musicals from Broadway, with funds coming from incentive laws, while others create non-profit institutions that act publicly in a systematic way.

### WHAT'S NEW

- Large financial groups, especially acting through the creation of non-profit organizations, have come to the fore in culture in Brazil with their discourse of neutrality, objectivity and efficiency, which hides a specific type of policy that, even though it is not publicly voiced, benefits some to the detriment of others, like every policy.
- Tax incentive laws need to be rethought with a view to diluting the public resources that are distributed to foster culture in the country, because in the way they are functioning currently they are a mechanism for transforming the economic power of some agents into political power.



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PUBLIC MANAGEMENT

# The challenge of smart cities

## RESEARCH IN FOCUS:

*Limits and potential for e-government and smart cities in local government: A cluster analysis of ICT infrastructure and use*

Érico Przybilovicz,  
Wesley Vieira Silva and  
Maria Alexandra Cunha

Municipalities can be divided into different groups as far as concerns infrastructure and the management of resources for achieving the benefits of so-called smart cities.



## OBJECTIVE TO UNDERSTAND THE CHALLENGES THAT BRAZILIAN CITIES FACE IN BECOMING TECHNOLOGICALLY SMART.

### X-RAY OF THE RESEARCH

- A survey of census data of Brazilian municipalities, taken from the MUNIC survey (*IBGE*), from the Human Development Atlas (*UNDP*) and from *IPARDES* (PR).
- Development of a pilot study with 399 municipalities in the State of Paraná.
- Survey of two information clusters: IT infrastructure, with 50 variables grouped in six dimensions (government connection infrastructure; Internet access and infrastructure in the city; e-services; accessibility; digital inclusion and public e-management); and social and economic data, such as *per capita* income, population and HDI.
- Statistical analysis of the data.

### RESULTS

- Five municipal clusters were found that have different IT needs and uses: (1) Dependent (cities in metropolitan regions that depend on the infrastructure of large centers); (2) Indifferent (large, rich cities that have an infrastructure, but are not concerned about offering their citizens electronic services); (3) Lacking in resources (small, poor cities with no infrastructure); (4) Well organized (small and relatively poor cities, but that have managed with few resources to offer Internet access and virtual services and achieve digital inclusion); and (5) A potentially smart city (Curitiba, the state capital, with the best infrastructure and services, but that does not transfer its advantages to the cities surrounding it).
- Generally speaking IT use in cities in Paraná is just beginning. This is especially true in Groups 1 and 3, where citizens find it difficult to access the Internet. Group 3, poorer cities, deserves greater attention from public administration.
- In some cases, as in Cluster 2, the question is not so much supplying infrastructure, but improving the management of the infrastructure available. The case of Cluster 4 shows an opposite situation: how it is possible to make progress with few resources, but with clear management.

### WHAT'S NEW

- International measures do not normally identify the internal differences of each country. But national policies for encouraging the use and dissemination of IT infrastructure should consider different treatment for municipal clusters, considering the infrastructure and the way that resources are managed.



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PUBLIC MANAGEMENT

# BRICS countries are little prepared for negotiating international agreements

RESEARCH IN FOCUS:

*Negotiation in the BRIC countries: A comparative study of Brazilian, Russian, Indian and Chinese international negotiators*

Ligia Maura Costa

**In complex negotiations, like those relating to joint-ventures, executives from Brazil, Russia, India and China plan for at most two weeks**

## **OBJECTIVE TO STUDY THE INTERNATIONAL NEGOTIATION PROCESS OF COMPANIES IN BRAZIL, RUSSIA, INDIA AND CHINA (BRIC).**

### **X-RAY OF THE RESEARCH**

- A survey of the perceptions of negotiators from BRIC companies in international agreements; the main ones were joint-ventures, commercial business, service agreements (like financial) and distribution contracts, with 200 complete replies being received (50 from each country).
- Twenty interviews were carried out for a more in-depth survey (five in each country).
- Quantitative and qualitative data analysis.

### **RESULTS**

- More than half the negotiators prepared themselves for the negotiation just two weeks beforehand, while more than 25% only set aside the eve of the process for planning – 2% did no preparation at all; 35% spent more than 10 hours; 27%, more than 5 hours; 18%, more than 2 hours; and 3%, less than 1 hour.
- As for the negotiation itself, 81% were formal or extremely formal, 17% were informal, and 2% were extremely informal. Most of those interviewed negotiated in a group and not alone, as well as face-to-face and in their country of origin.
- The most important tools for negotiators from the BRICs were knowledge of the language and the capacity to listen to the other party. During the negotiation, the interviewees used examples and repetition with other words from the arguments.
- The negotiators interviewed said they use many price bargaining tactics.
- 74% of the respondents said they concluded a formal agreement, while 22% said they came to an informal agreement and 3% admitted they reached no agreement whatsoever.

### **WHAT'S NEW**

- BRICs negotiators should improve their planning, because two weeks is a very short time for dealing with a counterparty from another environmental context, even more so when dealing with complex joint-venture contracts.
- Misunderstanding and miscommunication can contribute towards international agreements failing. Negotiators from the BRICs countries need to work a lot on their communication skills, on using clear arguments in a foreign language and on understanding different international environments.
- Negotiators need to realize that an international agreement may be the beginning of a long-term relationship, which requires that people put themselves in the place of the other and be careful with regard to the use of bargaining tactics.



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PUBLIC MANAGEMENT

# How to pay the benefits of the *Bolsa Família* by cell phone

## RESEARCH IN FOCUS:

Innovations in income-conditional transfer programs in the digital age: The feasibility of paying the *Bolsa Família* Program benefits by cell phone

Adrian Kemmer Cernev

Today there are technological and marketing conditions that allow for the development of an extensive digital and financial inclusion initiative.

## **OBJECTIVE** TO UNDERSTAND HOW CELL PHONES CAN BE USED FOR THE *BOLSA FAMILIA*.

### X-RAY OF THE RESEARCH

- Analysis of the project conceived by the Ministry of Social Development and Combatting Hunger (*MDS*) in 2010.
- Analysis of the E-Money Project of mobile payments and digital social currency, launched by Palmas Bank and replicated by other community banks in Brazil.
- Forty interviews conducted with relevant social groups.
- Field research in a low income neighborhood in Fortaleza (CE).

### RESULTS

- To make the service accessible via cell phone it would be important to offer training, in a partnership with local government, considering the peculiarities of each region.
- The *MDS* should define technological and security standards and, using a centralized governance model, form partnerships in states and municipalities.
- The model should connect all the telecommunication operators and other players to a single platform in such a way as to reach more locations.
- It is important to include the expansion of security (physical and digital), the possibility of e-commerce, remote purchasing and payments and cost reductions.
- As pilot-projects have already been tested (the case of E-Money), the government could introduce a project for the whole of the potential public, even if it starts locally.

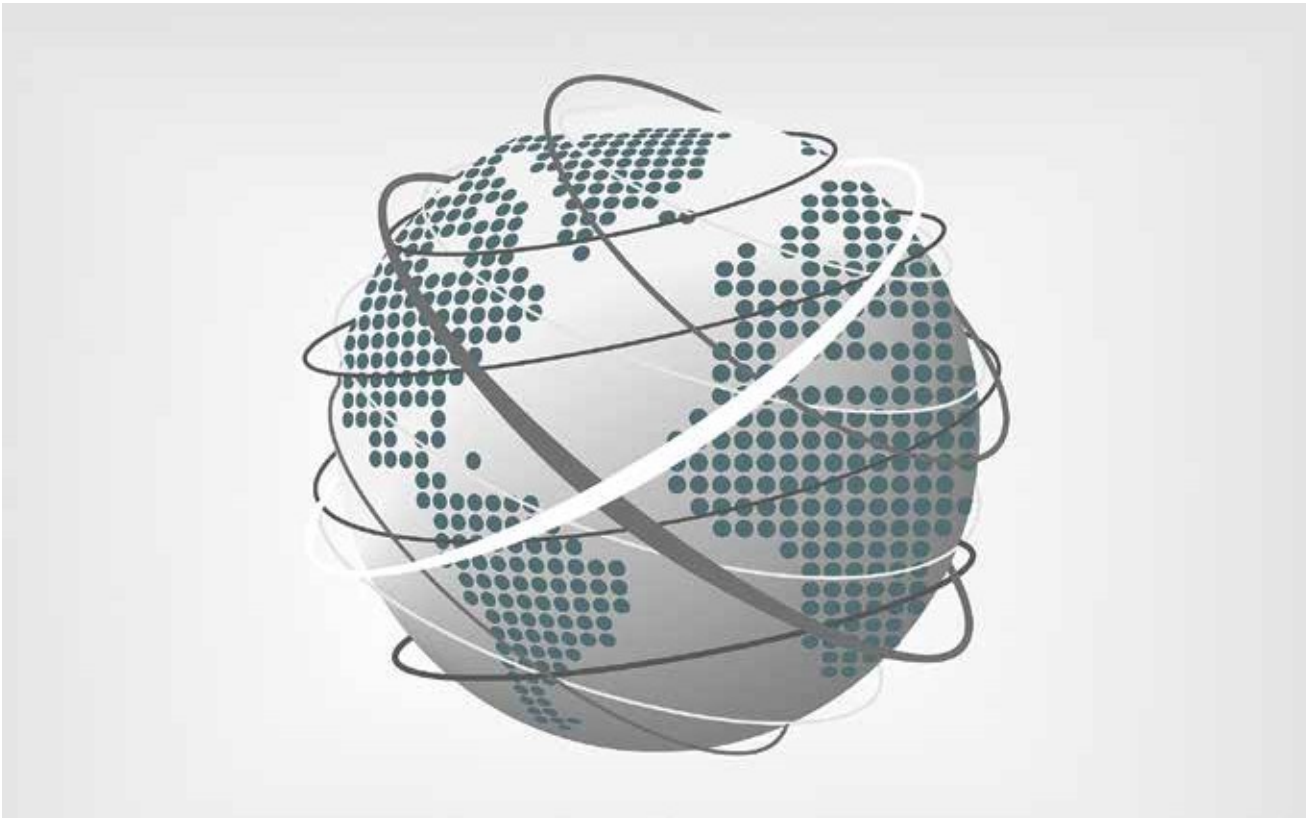
### WHAT'S NEW

- By revisiting the *MDS* project of 2010, expansion of the payment of government social programs via cell phone technology can be an effective strategy for the digital and financial inclusion of the country's low income population.
- New technological and market drivers could be taken advantage of in the social benefits' payment system by cell phone. But critical issues, related to technical strength, integration, usability, security, governance, sustainability and the local context, need to be overcome.
- The lessons learned in mobile payment pilot projects can help with the design of an all-embracing government initiative.



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PUBLIC POLICIES

# The role of the state and private players in global governance

## RESEARCH IN FOCUS:

Transnational governance: Definitions, approaches and the research agenda

Marcus Vinícius Peinado Gomes  
and Catherine Rojas Merchán

**The place of the state in transnational issues needs to be analyzed in more depth, as does the place of pro-market multinationals and organizations.**

## **OBJECTIVE TO UNDERSTAND HOW ACADEMIC STUDIES DEAL WITH THE TOPIC OF TRANSNATIONAL GOVERNANCE.**

### **X-RAY OF THE RESEARCH**

- A survey of 355 articles about transnational governance taken from the database of the Web of Science (WoS) platform.
- An in-depth qualitative analysis of the 20 most influential articles.

### **RESULTS**

- The phenomenon of international governance is recent (65% of the studies on the topic were published between 2010 and 2015) and results from the characteristics of 21st century capitalism, like globalization and global value and production chains.
- Transnational governance is very closely associated with environmental issues observed from a European bias.
- Analysis of the 20 most influential pieces of work showed that: (a) 90% deal with soft regulations (certification, self and co-regulation) and only 20% with legislation; (b) 60% analyze the different players involved in the process (in which the state is just one player in the international arena); (c) 55% examine the relations between local, national or global levels, and (d) just 35% analyze the influence and negotiation processes for the development of different forms of transnational governance (in which private players, like multinational companies, are playing an increasingly active part).

### **WHAT'S NEW**

- Among the 20 most influential articles, there are no studies about the Latin American context. Knowledge needs to be produced, however, about countries like Brazil, which influence and receive the consequences of transnational governance.
- There is no in-depth academic analysis of the role of the state in transnational governance, a topic that deserves further study.
- The development of regulation mechanisms that legitimize the action of private players with regard to questions of public interest needs to be researched critically. To do so, much more knowledge is needed about how pro-market organizations prepare and execute governance mechanisms and how multinational corporations have been exercising political influence in the formation of “regulatory markets” and transnational governance systems.



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PUBLIC POLICIES

# The contradictory policy of progression in taxes

RESEARCH IN FOCUS:

*Is a progressive property tax progressive? Evidence from São Paulo*

Ciro Biderman and  
Yuri Camara Batista

The reduction in the building tax on properties occupied by people with low incomes leads to an increase in the value of real estate, which makes it economically unviable for the neediest families to buy or rent.



## **OBJECTIVE** TO ANALYZE WHETHER THE IMPLEMENTATION OF A PROGRESSIVE BUILDING TAX REALLY DOES RESULT IN POSITIVE EFFECTS FOR THOSE WHO HAVE THE LOWEST INCOMES.

### X-RAY OF THE RESEARCH

- A survey of three types of data: the value of the real estate on the municipal register in São Paulo; full information about the launch of new apartments in the São Paulo metropolitan region from consultancy company, Embraesp; and 2010 census data.
- A statistical analysis was carried out to evaluate the impact of the 2002 change from a uniform building tax to a progressive tax in the city of São Paulo.

### RESULTS

- There was a capitalization in the price of real estate of around 10% of its sale price for every 1% reduction in  *IPTU* [real estate tax].
- Using different statistical techniques and considering the influence of other variables the result proved to be robust.

### WHAT'S NEW

- The progression discussion typically assumes that this policy benefits the poorest and concentrates on its possible losses in efficiency. Analyzing the indirect effects, we discuss whether there is no doubt that the policy is actually beneficial to the poorest people.
- The results of the study indicate that the price of the cheapest real estate increases more than the price of more expensive properties when a progressive building tax is adopted.
- The progressive tax improves the life of the poorest real estate owners, but makes it difficult for non-owners from the lowest layers of society to enter the real estate market.



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PUBLIC POLICIES

# The politics behind monetary policy in Brazil from 1808 to 2014

RESEARCH IN FOCUS:

*Monetary statecraft in Brazil, 1808-2014*

Kurt Mettenheim

An historical analysis of the years between 1808 and 2014 shows how monetary decision-makers struggled with limited resources and information and pressure from all sides.

## **OBJECTIVE TO PREPARE AN ALTERNATIVE AND HISTORICAL VIEW OF THE MANAGEMENT OF MONETARY POLICY IN BRAZIL.**

### **X-RAY OF THE RESEARCH**

- An analysis of the policy processes related to monetary regimes, based on an historiographical survey of the years between 1808 and 2014.
- The use of hundreds of primary sources that have been recently digitalized and new data about the assets and liabilities in the portfolios of sectors of the economy.
- The formulation of an alternative theory for analyzing monetary policy, based on what the author calls 'monetary statecraft', the policy involved in the rules, policies and procedures for: producing money, supplying the government with funds over and above taxes and tariffs; allocating resources in the state and society; and molding markets, by trying to balance their internal political support, economic reality and trust.

### **RESULTS**

- Reconstruction of the politics behind monetary policy since 1808 shows that monetary decision-makers reacted throughout history to political circumstances and imperatives; they adapted ideas from abroad and struggled with imperfect information and a limited rationality for molding money, credit, banks, markets and development.
- The risks and benefits of monetary reforms (which grow with access to international money markets, for example) and construction of the capacity of the Central Bank are not linear, because their feasibility depends on what is politically possible, given the consequences for society in distribution terms.
- Since 1994, with the end of inertial inflation, the costs for adjusting to external shocks have been high and the legacy of under-development is still cruel. However, new monetary channels for social inclusion arose and transformed what is normally seen in economics as a zero sum relationship into a cycle of positive results.

### **WHAT'S NEW**

- The monetary statecraft theory makes it possible to show how those who prepare policies react to circumstances with restricted resources, limited rationality, imperfect information - and pressures from markets, social interests and political forces.
- The recent period (since 1994) shows that monetary policies can move in a new direction to speed up social inclusion, based both on concepts like social justice and citizenship and on market equilibrium and property rights.



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PUBLIC POLICIES

# The exchange rate, access to demand and the investment rate

**RESEARCH IN FOCUS:**

Macroeconomics and the political  
economics of the new  
developmentalism

Luiz Carlos Bresser-Pereira

**There is no point in just stimulating demand. In Brazil it is necessary to actively manage the foreign exchange rate to avoid its chronic and cyclical over-valuation.**

## **OBJECTIVE TO DEVELOP A MACROECONOMIC THEORY FOR AVERAGE INCOME COUNTRIES, LIKE BRAZIL.**

### **X-RAY OF THE RESEARCH**

- An analysis of and a proposal for a solution to the cyclical economic crises of Brazil.

### **RESULTS**

- In developing countries, like Brazil, aggregate demand is not sufficient to stimulate investments and full employment. The exchange rate also has to be competitive.
- The exchange rate in countries like Brazil tends to chronic over-appreciation in the long term. This occurs because its abundant and cheap resources are exploited, the production and export of which are compatible with an exchange rate that is higher than the one that would make industrial businesses that use modern technology competitive. For the latter to be viable they would need to have productivity that is greater than that of foreign companies in the same proportion as the disequilibrium in the exchange rate. When the exchange rate is over-valued, companies in greater added value sectors are unable to export, and what is worse, they lose demand domestically to foreign competitors, not because they are inefficient, but because of exchange rate distortions.
- The exchange rate in countries like Brazil also tends to a cyclical over-appreciation because its very high value causes deficits in the current account that lead to financial crises. This occurs for four main reasons: (1) the belief that the country has to attract external savings; (2) the use of the exchange rate to control inflation (even when this is unnecessary); (3) the practice of speculators who buy the Brazilian currency relying on an appreciation of the exchange rate after a strong devaluation; and (4) the populist action of pushing up the exchange rate to increase income and wealth in the country momentarily.
- There are two solutions for solving the over-appreciation of the exchange rate: (1) tax commodity exports (to combat the chronic problem); and (2) administer the capital that enters and leaves the country on a daily basis via capital controls, or by buying and selling reserves (to combat the cyclical problem).

### **WHAT'S NEW**

- To avoid financial crises and accelerate growth, countries like Brazil need to adopt an economic policy of active management of the exchange rate that combats its tendency to chronic and cyclical super-valuation.



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PUBLIC POLICIES

# The difficulties in changing the *status quo* in culture

## RESEARCH IN FOCUS:

The *Cultura Viva* program and the organizational field of culture: An analysis of public policies from the institutional perspective

Mário Aquino Alves,  
Marta Ferreira Santos Farah  
and Anny Karine de Medeiros

A more inclusive financing policy and cultural actions did not lead to a break with, but to the assimilation and strengthening of more bureaucratically structured actions.

## **OBJECTIVE** TO ANALYZE THE TRANSFORMATIONS THAT OCCURRED IN THE CULTURAL FIELD IN THE STATE OF SÃO PAULO AFTER THE INTRODUCTION OF A NEW MODEL OF PUBLIC POLICY.

### X-RAY OF THE RESEARCH

- Research into the implementation of the federal program 'Art, Culture and Citizenship – *Cultura Viva* [Living Culture], which was created in 2004 with the idea of encouraging cultural organizations that already exist in communities that are excluded from financing circuits that are shaped by patronage.
- Research was carried out with managers from the so-called culture points (organizations selected by the program that become part of a network of culture actions) in São Paulo, with 31 replies.
- The managers of public policies and from culture points of organizations with different profiles were interviewed.
- A survey of the data relating to financing, the projects selected and financed by cultural policies and agreements that were signed with government.

### RESULTS

- The strongest - and most substantial – organizations and institutions were still the main players in the cultural field, regardless of the on-going change proposals.
- To adjust to the new program and compete for lines of financing many organizations became more professional and some started having artists who also undertook bureaucratic functions, as a result of which they ran the risk of losing the focus of their cultural action.
- As the *Cultura Viva* Program has a network structure, there was both an exchange of knowledge and experiences between managers to strengthen the actions and public visibility. A minority of the institutions, however, did not identify with the network.

### WHAT'S NEW

- The policy of including new cultural organizations did not lead to a break with the former model. On the contrary, the tendency was to reproduce the same professionalization logic in the dispute for funds.



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PUBLIC POLICIES

# The new Brazilian social development of the 21<sup>st</sup> century

## RESEARCH IN FOCUS:

Brazilian social macrodynamics:  
Changes, continuity and challenges

Francisco César Pinto da  
Fonseca and Eduardo Salomão  
Condé

As from the 2000s, there was a qualitative leap in fighting inequality, with an increase in the amount of the minimum wage, social policies for transferring and creating income, stabilization of the employment rate, a strengthening of the domestic market and growth.



## **OBJECTIVE** BY WAY OF ECONOMIC AND SOCIAL INDICATORS, TO ANALYZE THE EVOLUTION OF THE MACRODYNAMICS OF BRAZILIAN SOCIETY IN THE FIRST DECADE OF THE 21ST CENTURY.

### X-RAY OF THE RESEARCH

- An analysis of the employment, income, poverty, inequality and economic growth indicators.
- An examination of the public policies adopted in the social areas.
- A reflection on the role of the state in economic and social development.
- Articulation with the economic context and international policy.

### RESULTS

- There was a change of direction between the FHC and Lula governments: from “market-oriented reforms” to state induction with a strengthening of national capital and social investment.
- Moving away from neoliberal predictions implied strengthening the domestic market and greater sovereignty in international relations (beyond the North/South axis).
- The state was strengthened and promoted economic and social development in the first decade of the 2000s.
- Between 2000 and 2010 there was a significant reduction in the poverty and social inequality indicators.
- Social mobility and the consolidation of the domestic consumer market, which occurred as from 2000, need to be consolidated.

### WHAT'S NEW

- Economic and social contradictions and challenges remain, but a new “neo-developmental” direction was set as from the 2000s, in which social equality plays a relevant role.



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PUBLIC POLICIES

# Institutional weaknesses in invisible cities

RESEARCH IN FOCUS:

Urban vulnerability and the possibilities for public action

Peter Spink,  
Francisco César Pinto da Fonseca,  
Marco Antonio Teixeira and  
Mario Aquino Alves

On the outskirts of São Paulo, in areas like the M'Boi Mirim region, the state finds it difficult to take preventive, interconnected and participative action.

## OBJECTIVE TO ANALYZE THE VULNERABILITY OF “INVISIBLE CITIES”.

### X-RAY OF THE RESEARCH

- Research was carried out in M’Boi Mirim, with its population of almost 600,000 inhabitants, which forms part of the southern outskirts of the Municipality of São Paulo.
- Identification and mapping out of the different public services present locally and an analysis of their connectivity.
- A qualitative study of the new outlines of the relationship between services provided by the state itself (state and municipal) and by civil society organizations.
- Case studies involving people living in areas where there is a risk of rainfall-related landslides and flooding.

### RESULTS

- Many public services and activities are physically present in the M’Boi Mirim region, but the sensation expressed in meetings and forums is of the absence of the state. This “absence” is related to the lack of connectivity between the different services and a lack of joint discussion about the problems faced.
- Many of the social organizations that have agreements with the prefecture were active in the field before the actual arrival of local government. As a consequence there is turbulence in the negotiation of new roles and relationships, which generates new institutional vulnerability.
- There is inter-institutional complexity with regard to the risk areas that involves issues of housing, the environment and an absence of specific actions aimed at prevention. This results in public action generally being taken after accidents and disasters occur and not in a way that anticipates them happening.

### WHAT’S NEW

- In any analysis of public action it is important to lay greater emphasis on institutional vulnerability and create new social technologies for dealing with dilemmas. The M’Boi Mirim case shows the difficulties involved in formulating preventive, interconnected and participative actions.
- Working on palpable issues in the territory helps make them more visible and offers organizations and local leaders conceptual and information inputs.



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PUBLIC POLICIES

# How to make the *Minha Casa Minha Vida* Program more efficient

RESEARCH IN FOCUS:

Microcredit technology and  
*Minha Casa Minha Vida*

Lauro Gonzalez and  
Lucas Ambrozio

The creation of a local agent, like that of microcredit, and solidarity loan mechanisms would help reduce the high default rate and calibrate subsidies better.

## **OBJECTIVE TO ANALYZE HOW INNOVATION IN MICROFINANCE CAN INCREASE THE EFFICIENCY OF PUBLIC HOUSING POLICIES.**

### **X-RAY OF THE RESEARCH**

- Research into the *Minha Casa Minha Vida* [My House, My Life] Program (which constructed 3.5 million dwellings) that focuses on Band 1 (1.2 million dwellings), comprising poorer families with maximum income of R\$ 1,600 a month.
- Analysis of documents and interviews with representatives from entities that participate in the program and with bureaucrats.

### **RESULTS**

- In Band 1 of the *Minha Casa Minha Vida* Program, the mechanisms for selecting the beneficiaries and calculating the instalments are weak. Most of the beneficiaries pay close to the minimum amount of R\$ 25, which means a subsidy of 95% of the value of the dwelling. Default rates are high (approximately 20%, compared with 3% in the other program bands), because the property is only repossessed if it is being used by someone who is not the beneficiary who signed the contract.
- The use of agents, like those of microcredit, could help adjust the amount of the instalments and mitigate the credit risk. If the average subsidy were to fall to 82.4%, it would be possible to invest in another 187,000 additional dwellings; a reduction in default to 3% would lead to a reduction in losses equivalent to R\$ 1 billion.
- Microcredit technology could be useful for increasing social participation in the program, because today the involvement of housing entities in actions to control default is low. Some actions that should be adopted would be: the creation of group loans, collective management and an increase in the proportion of contracts issued in the name of women.

### **WHAT'S NEW**

- Combining the innovation of microcredit with public housing policies may be a win-win type game. The creation of an agent, which draws its inspiration from the credit agent, would make it possible to adjust and accompany the program better. At the same time, solidarity loan mechanisms would strengthen community participation in decisions.



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PUBLIC POLICIES

# The effect of federal policies on the municipal supply of crèches

## RESEARCH IN FOCUS:

Analysis of public policies at the subnational level of government: The impact of federal norms on the crèche policy in local government

Marta Ferreira Santos Farah  
Maria do Carmo Meirelles  
Toledo Cruz and  
Natasha Borges Sugiyama

*Fundeb*, *Ação Brasil Carinhoso* and other federal entities have ensured that the percentage of children up to three years old enrolled in crèches increased by 147% between 2001 and 2013.

## **OBJECTIVE** TO ANALYZE THE INFLUENCE OF GOVERNMENT MEASURES INTRODUCED AFTER 1988 TO SUPPORT OR INDUCE LOCAL GOVERNMENTS TO EXPAND ACCESS TO CRÈCHES.

### X-RAY OF THE RESEARCH

- Identification of the main federal normative acts (norms, directives, instruments and programs) between 1988 and 2014 that had an impact on the crèche policy of municipal governments.
- An analysis of enrollments in crèches between 2001 and 2014.
- An analysis of the number of children from *Ação Brasil Carinhoso* [Loving Brazil Action], an initiative of *Plano Brasil sem Miséria* [Brazil without Poverty Plan], and the resources passed on by the federal initiative from 2012 to 2014.

### RESULTS

- Federal regulations, by way of the Compulsory Education Maintenance and Development Fund and the Valuing Educational Professionals Fund (*Fundeb*) and programs like *Ação Brasil Carinhoso*, contributed towards expanding the number of places in crèches.
- *Ação Brasil Carinhoso* placed 580,981 children who were beneficiaries of the Family Allowance Program in crèches from 2012 to 2014, growth of 235% in the period.
- There was an incremental evolution in enrollments in crèches (2001-2014). Enrollment in crèches increased by 155% in the period, but there were inequalities between the states.
- The number of places available is still not sufficient to meet the target of the National Education Plan to provide places in crèches for 50% of the children by 2024. Just 24% of the children up to three years old were enrolled in crèches in 2010, but there has been an important increase since 2001.

### WHAT'S NEW

- Federal norms, directives, instruments and programs help expand the access of children to crèches, despite the great differences that exist between states.
- The program for fighting extreme poverty (*Ação Brasil Carinhoso*) made it possible to include extremely poor children in crèches and reduce inequality.
- Even with the incentives given by the government to expand the supply of crèches there are not enough places available. Although infant education is exclusively a local responsibility, the municipalities have been only slowly and gradually assuming this process, while they prioritize elementary education (a stage that is shared with the states).



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PUBLIC POLICIES

# A democratic economic alternative for Brazil's northeastern *sertão* region

RESEARCH IN FOCUS:

*Democracy, markets and rural development: The case of small goat-milk farmers in the Brazilian Northeast*

Oswaldo Gonçalves Junior  
and Ana Cristina Braga  
Martes



The creation of a democratic, economic alternative in the northeastern *sertão* [arid wilderness region]. Researchers, small producers and municipal public managers formed a network for building up the goat market that has been promoting the inclusion of sectors of the population that were previously ignored in the political history of the semi-arid northeast of Brazil.

## **OBJECTIVE** TO ANALYZE THE PROCESS OF BUILDING UP THE GOAT MARKET IN BRAZIL'S SEMI-ARID NORTHEAST AND ITS POTENTIAL FOR FIGHTING POVERTY.

### X-RAY OF THE RESEARCH:

- Qualitative research based on two case studies, with a focus on the Municipal Program for Supporting the Sheep and Goat Farming Production Chain (*Procap* – Rio Grande do Norte and Paraíba).
- Interviews conducted with specialists, public managers, leaders of sheep and goat farming associations, breeders and family farmers.

### RESULTS

- The process of building up the goat market has been induced by a network of enthusiasts, formed by researchers, local producers and leaders linked to cooperatives and associations that ally tradition and regional vocation with innovation and social and production inclusion.
- Standing out in this process is the action of the federal government (Food Acquisition Program) in developing the Milk Program, which aims to guarantee a market for the produce of family farming and has encouraged the formation of associations and the strengthening of small producers.
- Breeder associations and municipal management help form a social network for overcoming the barriers caused by the dispersion of the poor population.

### WHAT'S NEW

- Contrary to common belief, the players and organizations present in the semi-arid northeastern Brazil have made an effort to build a new institutional environment for the region. In the two cases studied, the social network that was formed developed significant changes in relation to the local political history, promoting actions for parts of the population that had been ignored before. It also innovated by allying tradition (goat farming) and inclusive economic development, by stimulating associations and democratic participation in the management of these initiatives.
- The two cases studied are significantly and strongly rooted, since the initiatives have been appropriated by the local population. So this opens up the possibility for greater autonomy vis-à-vis government in establishing a new economic culture. This is important since the interruption of programs and projects is one of the great obstacles to the success of public policies in Brazil.



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PUBLIC POLICIES

# Social vulnerability and local power

## RESEARCH IN FOCUS:

Social vulnerability and local power between young people and organizations in Jardim Ângela, Jardim São Luis and surrounding areas: Education and culture as strategic axes

Tiago Corbisier Matheus  
and Lucio Bittencourt

**Educational and cultural spaces in the São Paulo region of M'Boi Mirim promote local emancipation strategies that are at odds with the hierarchical view of dominant policies.**

## **OBJECTIVE TO IDENTIFY LOCAL STRATEGIES IN THE AREAS OF EDUCATION AND CULTURE ON THE OUTSKIRTS OF SÃO PAULO FOR DEALING WITH THE SOCIAL VULNERABILITY FACED BY YOUNG PEOPLE.**

### **X-RAY OF THE RESEARCH**

- Mapping out actions in schools and culture groups in the region of Jardim São Luis, Jardim Ângela and adjoining areas (M'Boi Mirim, a region with more than half a million inhabitants).
- Interviews were conducted with agents from 15 public schools and complementary training areas.
- The formation of a working group with principals and coordinators from state public schools from the area surrounding Alto do Riviera.

### **RESULTS**

- Despite current investments in the culture area in the region the funds available are incompatible with the size of the local population.
- There is little articulation between schools and with the region's complementary education spaces, which restricts the potential for transforming the reality.
- The relationship between teachers and students suffers from the influence of management policies based on the search for quantitative results, causing a distancing of those young people who identify less with the school world, which makes them educationally more vulnerable.
- Young people with their idiosyncracies want to be heard and recognized, which rarely happens in school, but does more frequently in complementary education spaces (like youth centers and schools for young people and adults). In these spaces, teachers, employees and young people build emancipation strategies and those for forming citizens together.
- At the same time M'Boi Mirim offers a profusion of cultural initiatives, with various languages and modalities of art, which are promoted by the local community, as an expression of the challenges faced and an affirmation of rights and the leading position occupied in the social scene.

### **WHAT'S NEW**

- The investigation showed that there are spaces that welcome young people from the outskirts and offer them a democratic education despite the dominant, hierarchical cultural management.
- The plurality and effervescence of local cultural action shows the power of local wisdom to react to the challenges faced and create expression and positioning alternatives in the social scene.



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## Books published in 2015



# BOOKS PUBLISHED IN 2015



sustainability and  
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**Stewart R. Clegg; João Amaro de  
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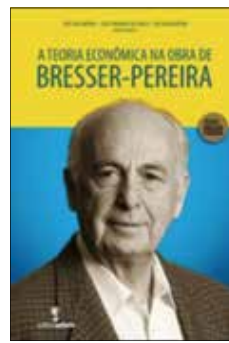
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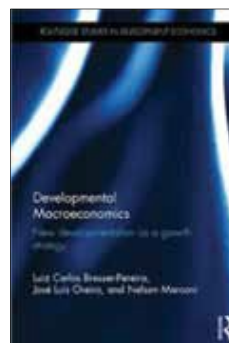
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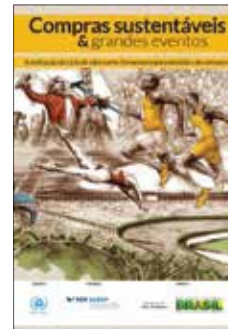
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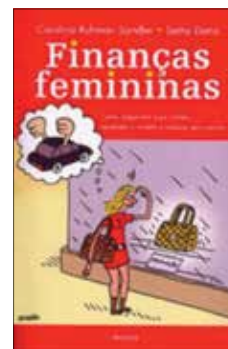
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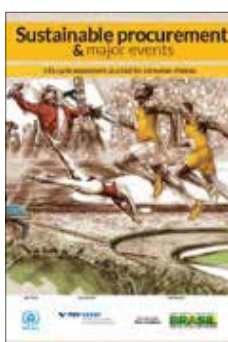
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**Samy Dana; Carolina Ruhman Sandler**

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**Miqueli Michetti**

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