

RESEARCH YEARBOOK

# GVpesquisa

2016 • 2017



## **RESEARCH YEARBOOK 2016-2017**

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### **INDUSTRIAL PRODUCTION**

Printing and finishing: Única Gráfica e Editora Ltda. – Epp

Print date: 6/08/2016

Print run: 450 copies

### **FREQUENCY**

Annual

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## INTRODUCTION

This yearbook presents summaries of research conducted by research professors from FGV-EAESP.

The work was funded by GVpesquisa, and our research included four support categories: two individual categories related to projects conducted with the support of over-the-counter and productivity grants and two collective categories related to Research Line and Study Center projects.

The sections provide an overview of the contributions made by FGV-EAESP researchers to the development of administration studies in Brazil as well as guidance for the construction of a research agenda for both the present and future.

This yearbook also contains a section by Maria Tereza Leme Fleury and Servio R. C. Werlang on applied research, and it emphasizes the issue of methodological strictness.

The research summaries were prepared by the authors themselves and edited by Adriana Wilner. Graphic design was performed by designer Cris Tassi, and the overall project was coordinated by Daniela Mansour M. da Silveira from the GVpesquisa team.

We hope that this yearbook achieves its objectives, which include disseminating the knowledge generated by FGV-EAESP, and serves as a bridge between readers and authors.

With warmest academic greetings,

**Thomaz Wood Jr.**

Coordinator – GVpesquisa

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- 105 Research indicators





# Opening

APPLIED RESEARCH:  
CONCEPTS AND APPROACHES





# Applied research: Concepts and approaches

by Maria Tereza Leme Fleury, FGV-EAESP and Sergio R. C. Werlang, FGV-EPGE

## What is applied research?

In the preface to “The structure of scientific revolutions”, Thomas S. Kuhn (1970) comments that he solved the jigsaw puzzle of the study when he spent a year at the Center for Advanced Studies in Behavioral Sciences at Harvard and lived and worked alongside social scientists from different areas.

Observing the discussions and controversies involving theoretical and methodological references, he noticed differences between scientists linked to the natural sciences (among whom he had been trained) and scientists in the social sciences. This finding helped him conceive the notion of scientific research as

a paradigm or “universally recognized scientific achievements that for some time provide problems and model solutions for a community of science practitioners.”

Kuhn differentiates scientific research from normal science, which is research firmly based on one or more past achievements (paradigm). These achievements have been recognized for some time by the specific scientific community and have provided the foundation for subsequent practices.

The distinction between scientific research and applied research persists in the social sciences. However, a single paradigm cannot provide the theoretical and methodological foundation for conducting research that applies to the entire community of scientists of that particular specialty over a period of time. Plurality, controversy, multiple theoretical models and methodological proposals are a part of the field.

Research objectives can be varied to create an overview of a particular phenomenon or a given condition; to generate new ideas; or to learn the basic facts that surround a given situation. Research can also classify or create categories, document a causal process, or clarify the stages in a process. The first view of research is called exploratory, and the second is called descriptive.

However, a third research objective is observed, and it is related to testing theories; reinforcing or refuting an explanation; and determining which among several possibilities is the best explanation (NEUMAN, 2007). Depending on the objectives and stage of the research, the approaches are first chosen, and then the qualitative or quantitative methods are selected.

Basic social research or scientific research does not just address bibliographic reviews or general statements but rather aims to produce knowledge via concepts and typologies as well as by verifying hypotheses and preparing theories that are relevant to academic disciplines and anchored in certain schools of thought.

According to Thiollent (2009), sociology does not dispense with empirical research. The observation of a situation is used as a method of proving propositions or hypotheses, without being concerned with problem solving, and the results can be generalized and revealed in books and journals and submitted to peer evaluation.

Applied research concentrates on problems that are present in the activities of institutions, organizations, groups or social actors, and it strives to prepare diagnoses, to identify problems and to find solutions. Applied research responds to a demand that is formulated by “clients, social actors or institutions” (THIOLLENT, 2009, p.36).

The distinction between scientific research and applied research is found in different disciplines (COOPER & SCHINDLER, 2003). These types of research are not, however, mutually exclusive because the objective of scientific research is to establish both the knowledge itself and the practical contributions derived from it.

Research into practical problems can therefore lead to the discovery of scientific principles. Similarly, pure research can supply knowledge that can be applied practically and immediately (GIL, 1987, p.18). This definition of applied research is consistent with that of the OECD’s Frascati Manual (2002): investigation aimed at acquiring new knowledge with practical objectives.

Another issue included in the definition of applied research pertains to its capacity to cause an impact. Therefore, applied research can be defined as a set of activities in which previously acquired knowledge is used to collect, select and process facts and data to obtain and confirm results and generate an impact.

In short, researchers appear to agree on certain points:

- Applied research and scientific research are embedded in common reference tables and can feed off each other.
- Applied research can serve multiple interest groups.
- Applied research requires strictness (in defining the problem, in its design, in the methodology adopted, in the possibility of being refutable, and in the analysis of the results) and relevance (which involves impacts and other effects).
- The ethical dimension is fundamental to applied research.
- Applied research can use different methodological procedures.
- The impact of applied research goes beyond the academic dimension of disclosing scientific knowledge and covers various other dimensions.

## Guaranteeing strictness in applied research

The debate about the choice between qualitative or quantitative research has already been resolved, although true opposition between these models is not observed. The research approaches for social facts are multiple (as the notion of 'social' indicates) because social phenomena demand different strategies and approaches; otherwise, it could be called a dogma rather than a science.

Recent discussions on research methodology have led to the joint consideration of different possibilities, including experiments, quasi-experiments, interviews, focus groups, ethnography, action research and surveys, which can be addressed using the principles of differential statistics, multivariate data analysis, structural equation modeling or meta-analysis (e.g., ROBSON, 2002; BREAKWELL, HAMMOND, FIFE-S-CHAW, SMITH, 2006; OUTHWAITE, TURNER, 2007; NEUMAN, 2007).

Research and its procedures must be inserted into the context in which it develops. In designing the research, the researcher may choose to use secondary or primary data or a combination of the two.

Data can be treated using different methodological approaches. The fundamental question is related to the strictness and relevance of the project, which should be based on research protocols that have already been developed within the environment of the adopted methodology.

A number of the methodological approaches recommended for conducting applied research projects are described below.

- **STATISTICAL METHODS**

Among the quantitative methods, the first level of proof, which is used particularly in economics as well as in the social sciences and administration and widely disseminated, is the use of statistical methods in general. Econometric methods were developed because many historic episodes or situations may have been documented but cannot be replicated.

- **ASSESSING THE IMPACT**

In addition, among the quantitative methods, the second level of proof is the impact assessment. The objective is to measure the impact of a particular policy on the population or specific subpopulation. In this case, a number of techniques can be used. The best known and most robust is to separate two groups of people at random to apply the treatment (i.e., the group affected by the tested policy) and the control (i.e., the group that will not be affected by the tested policy). This procedure is also known as a field experiment (or research). In this case, the method is easily replicable in other groups. Non-parametric statistical techniques are normally used here. For a variety of reasons, including ethical, determining whether a person will not participate in the experiment is difficult. Thus, on many occasions, choosing a control group randomly may be impossible. An ethical assessment of the empirical procedure is required here.



What is to be done if there are obstacles to randomization? As the economic or social policies that are the objects of impact assessment are not normally extended to the whole of society, an artificial control group is identified among those people who were not affected by the policy to be tested. To do so, econometric methods once again come into play.

- **OPINION RESEARCH OR SURVEYS**

The third level of evidence consists of opinion research, or surveys. Such surveys can be classified as exploratory when better knowledge of the phenomenon is required or insights are being sought, and they can be classified as confirmatory when the objective is to test a theory and hypotheses about the phenomenon can be prepared. Such surveys may also be descriptive when the objective is to understand the phenomenon and describe its distribution in a given population (FORZA 2002). These approaches are frequently applied using statistical sampling techniques and are supported by specialists in the preparation of data collection instruments (GHAURI 2010).

- **EXPERIMENTS**

The fourth quantitative method covers laboratory experiments with humans. These techniques were enshrined in the Nobel Prizes in Economics attributed to Vernon Smith and Alvin Roth. These experiments are useful for auctions, testing alternative theories of attitudes towards risk; tests involving individual choice and market behavior; marketing; psychology; political science; testing the impact of applying rules to certain groups; and, recently, behavioral economics. This methodology has spread to several areas in the social sciences. To ensure these laboratory tests can be replicated, research protocols that are accepted by the field of knowledge are required.

- **NATURAL EXPERIMENTS**

A fifth method of applied research is based on natural experiments, which consist of analyzing a particular historical episode using techniques that are compatible with the four previous techniques, which are all of a quantitative nature. This method may or may not be quantitative. First, diligent and careful preparation of a database and facts is required. This database must be replicable. Second, the episode is narrated based on a theory of choice that has not been contradicted by procedures one to four. For example, historically, the methodology known as “analytic narrative” presupposes individual maximization of the utility, and it was essentially the methodology used by Douglass North, a Nobel Prize Winner in Economics. This methodology is based on specific historical facts and illustrates the importance of institutions.

- **CASE STUDY**

The sixth method is the case study, which is widely used in social sciences and administration research. The case study is generally associated with descriptive or

exploratory research, although it is not restricted to these formats and can be used to test a theory (YIN 1994) or construct a theory (EISENHARDT 1989). The main characteristic is the intensity with which the object, individual, group, organization, incident or situation is studied. This method may involve either a single case or multiple cases and combine various data collection techniques, such as document analysis, interviews, questionnaires and observations. The evidence can be either qualitative or quantitative. For example, data are commonly collected via interviews or observations (qualitative collection) and codified in such a way that it is possible to statistically analyze the information. In the Qualitative Comparative Analysis (QCA) approach, Boolean algebra is used to analyze qualitative data. The design of the case study and its replication logic and validity have been exhaustively discussed, such as by Yin (1984) and Eisenhardt (1989).

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# Business Administration

CORPORATE STRATEGY

MARKETING STRATEGIES

ORGANIZATIONAL STUDIES

FINANCE AND ACCOUNTING

INFORMATION MANAGEMENT

HEALTH MANAGEMENT

OPERATIONS AND LOGISTICS MANAGEMENT

RESEARCH AND KNOWLEDGE

SUSTAINABILITY





CORPORATE STRATEGY

# In which countries do Brazilian family groups invest?

## RESEARCH IN FOCUS:

The internationalization of economic groups: choosing a destination country based on institutional distance

Marina A.B. Gama  
Jeferson Lana,  
Cyntia Vilasboas Calixto and  
Rodrigo Bandeira de Mello

To improve the commitment to production units, the preference is to select institutionally less-developed environments.

## **OBJECTIVE TO EVALUATE THE EXTENT TO WHICH THE COMMITMENT OF RESOURCES TO THE INTERNATIONALIZATION OF FAMILY GROUPS IS ASSOCIATED WITH THE DISTANCE OF THE INSTITUTIONAL ENVIRONMENT FROM THE COUNTRY OF ORIGIN AND THE COUNTRY OF DESTINATION.**

### **SNAPSHOT**

- A survey was performed of data from 38 Brazilian economic groups with family governance based on the Valor Large Groups Yearbook from 2000 to 2011, which included 541 firms from more than 50 countries.
- A survey was performed of the institutional quality of the countries based on the World Bank rating.
- Statistical analyses of the data were performed.

### **RESULTS**

- When family economic groups internationalize, they commit fewer resources to countries that are institutionally more developed than Brazil.
- When family groups decide to internationalize and commit more resources, such as by establishing production subsidiaries, they prefer countries that are institutionally less developed than their country of origin.

### **NEW INSIGHTS**

- The decision of family groups to commit greater resources (manufacturing plant) or less resources (sales office) is linked via the institutional environment to the distance between the countries of origin and destination.
- Family groups from Brazil open sale offices in more institutionally developed countries because they do not know how to address this type of environment.
- Family groups deal well with institutional environments that do not show great stability because these groups developed in countries with weak institutions. Therefore, family groups tend to choose institutionally less-developed countries when investing in a manufacturing plant.



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CORPORATE STRATEGY

# The hidden side of the 'Brazilcost'

## RESEARCH IN FOCUS:

Management practices as capabilities leading to superior performance

Luiz Artur Ledur Brito and  
Patrícia Kawai Sauan

Management practices in areas such as production, strategy, finance and human resources have a direct effect on the competitiveness of Brazilian companies.

## **OBJECTIVE TO STUDY FACTORS THAT HAVE AN INFLUENCE ON MANAGEMENT PRACTICES, WHICH ARE CHARACTERIZED AS CAPABILITIES, AND THEIR CONSEQUENCES FOR COMPANY PERFORMANCE.**

### **SNAPSHOT**

- Survey-type research into management practices was conducted in 124 companies in the national packaging sector.
- Interviews were conducted with CEOs and executives from the sector.
- Statistical analyses were based on general data, performance indicators and information on management practices (such as integrated production planning, quality management, production management techniques, building a high-performance culture, financial management, supplier management and strategic planning).
- Statistical analyses of the data were performed.

### **RESULTS**

- Companies that exhibit high standards in one practice tend also to have better standards in other practices.
- The degree of evolution of their management practices is positively related to their performance in terms of profitability, sales growth and productivity.
- Larger companies tend to have superior levels of management practices.
- The greater the self-confidence of the managers is correlated to a worse level of management practices.

### **NEW INSIGHTS**

- Management practices should be considered a new component of the so-called 'Brazil cost' because of the practical effect it has on the competitiveness of Brazilian companies.
- Companies evolve in more than one practice, suggesting that their management practices are not adopted in isolation but rather evolve together.
- Management hubris (related to self-confidence) should be considered a strong new factor that negatively affects the development of management practices.



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MARKETING STRATEGIES

# The metamorphosis of the 2013 protests into a citizen-consumer movement

## RESEARCH IN FOCUS:

The reach and limits of criticism in the context of the political culture of consumption

Isleide Arruda Fontenelle

Demonstrations in Brazil appropriated advertising slogans to criticize a state that is incapable of satisfying the consumption wishes of the population.

## OBJECTIVE TO ANALYZE THE BRAZILIAN PROTESTS OF 2013 BASED ON A CONSUMPTION CULTURE.

### SNAPSHOT

- Analyses were performed of the Brazilian protests of 2013 using the slogans “Come into the street” (originally from the Fiat campaign) and “The giant has woken up” (from the Johnnie Walker campaign).
- Analyses were performed based on the literature of consumer culture, citizen-consumer movements and critical appropriation.

### RESULTS

- The use of advertising slogans in protests is known as culture jamming, which is defined as the appropriation of the identity of brands and campaigns (in this case, Fiat and Johnnie Walker) with a politically subversive objective. This tactic was used extensively by the anti-corporation movements in the 1990s and has since been incorporated by the organizations themselves, which have used citizen company discourse.
- In the case of the Brazilian protests, culture jamming was not turned against the companies but rather against the state. Brands subverted culture jamming itself; for example, Coca-Cola campaigned with “positive” images of the demonstrations to promote the idea of a world in which goods and protests would peacefully coexist.
- The protests originated with a type of citizenship demand (use of public transport). The final hegemonic form was that of citizen-consumers, who demand “FIFA-standard” hospitals, for example, which is more for their dream of having a private health plan than for any improvement in the public sector. At that time, the protests were described by the media as “demonstrations for good”.

### NEW INSIGHTS

- The study presents elements for reflecting on the counter-hegemonic limits of culture jamming. The protests in Brazil show how criticism was appropriated by the culture of consumption.
- The study shows the manifestations of the political culture of consumption in a double movement that encompassed both the incorporation of politics by companies and the demand side promoted by consumer politics.
- The study adds to the debate about citizens as consumers and the impasse resulting from emancipatory policies.



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MARKETING STRATEGIES

# Beyond “flash mobs”

## RESEARCH IN FOCUS:

Ostentation and funk: an integrating model of extended and expanded self-theories under the lens of compensatory consumption

Carla Caires Abdalla and  
Felipe Zambaldi

As a musical movement created by young people who have recently emerged from poverty, ostentation funk reveals the significant relationship between consumption and the construction of identity.



## **OBJECTIVE TO UNDERSTAND THE IDENTITY CONSTRUCTION PROCESS OF THE FANS OF OSTENTATION FUNK VIA THEIR CONSUMPTION BEHAVIOR.**

### **SNAPSHOT**

- Qualitative research was performed with young consumers living in vulnerable situations.
- Interviews as well as focus and discussion groups were conducted with fans of ostentation funk (young adults), in which the lyrics and video clips refer to the consumption of designer clothes, automobiles and other objects of desire.
- Analyses of the videography of the main exponents of the movement were conducted.

### **RESULTS**

- Consumption is used by young people to alleviate feelings of vulnerability, and it is related to the idea of happiness and compensation. Young people extend their identities to the objects they wear and show off.
- The idols of this movement (MCs or Masters of Ceremony) expand their identities for their fans.
- The focus of the ostentation funk movement is male consumption, and female participation is secondary (women appear in promotional video clips only as dancers or girlfriends of the MCs).

### **NEW INSIGHTS**

- Reproducing consolidated business models does not guarantee success in markets with vulnerable consumers, and the scope should extend to adaptations geared towards empowering these consumers.
- Brands can work with vulnerable segments in a transforming way through communication that fosters self-esteem and inclusive offers connected to the construction of identity and the feeling of social belonging.



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MARKETING STRATEGIES

# The challenge for e-commerce is to grow without abdicating profitability

**RESEARCH IN FOCUS:**  
A new moment for e-commerce

Leandro Angotti Guissoni,  
Tânia Veludo-de-Oliveira and  
Thales Teixeira

Buying clubs, physical and virtual retail combinations, digital franchises and the sale of products from small stores by large retailers are models with the potential to generate profit.

## OBJECTIVE TO UNDERSTAND HOW BRAZILIAN E-COMMERCE COMPANIES CAN GROW WITHOUT ABDICATING THEIR PROFITABILITY.

### SNAPSHOT

- A temporal analysis was conducted of the organizational narrative of Brazilian e-commerce companies based on reports published in 2014 and 2015 in Brazilian business magazines (e.g., Isto é Dinheiro, Exame, E-commerce News).
- Analyses were conducted of sector reports for 2015, such as Latin America 500 and WebShoppers.
- Analyses were conducted of the results' metrics (e.g., sales growth rate, sales revenue growth, average ticket, conversion ratio) of those Brazilian e-commerce companies that showed the greatest growth in 2014.
- A forum was conducted with executives from e-commerce companies.

### RESULTS

- Brazilian e-commerce companies have adopted initiatives to achieve profitability, such as increasing product diversity, reducing delivery times, avoiding margin loss through price wars, opening new distribution centers, delivering free of charge and investing in mobile commerce.
- Four business models with the potential to generate profitability for Brazilian e-commerce companies stand out: (1) buying clubs, wherein internet users are invited to join a "club" to enjoy discounts for bulk buying (e.g., Wine.com); (2) using the marketplace, wherein products from small stores are sold by large retailers (e.g., B2W, Cnova and Wal-Mart); (3) combining physical and virtual stores, wherein physical and virtual stores operate side-by-side (e.g., Magazine Luiza); and (4) implementing digital franchises, wherein internet users can become the consultants of virtual stores (e.g., Natura).

### NEW INSIGHTS

- Brazilian e-commerce companies grew during an economically favorable period in the country and are under pressure to generate profits in an economically turbulent time. The previous discourse based on obtaining traffic growth, sales conversion rates and gains in market share has been modified to an expectation of making operations profitable.
- The four business models mentioned in this study have the potential to ensure that e-commerce companies grow and break even.



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ORGANIZATIONAL STUDIES

# Power relations in industrial organizations

## RESEARCH IN FOCUS:

Spreading knowledge and power relations in manufacturing networks: an analysis from the viewpoint of the fields of strategic action

Cristiane Biazzin and  
Mario Sacomano Neto

Disputes between units of the same industrial organization are more easily addressed when cultural coherence has been established.

## OBJECTIVE TO UNDERSTAND HOW POWER RELATIONS AFFECT THE SPREAD OF KNOWLEDGE IN A MANUFACTURING NETWORK.

### SNAPSHOT

- A qualitative study was performed of two organizations from different sectors: auto parts and food.
- Interviews were performed at various hierarchical levels of the organization.
- Direct observations and document analysis were performed.

### RESULTS

- Although the two studied organizations have the profile of a mature corporation, present strong customer and supplier relationships, and are immersed in aggressive disputes with their competition, their social skills, power and management mechanisms are distinct.
- In the food sector organization, the management profile is dispersed and the social relations are inconsistent. Even with access to the same resources, each unit acts individually. The headquarters imposes cultural and normative standards without recognizing the peculiarities of each unit. As a consequence, the other units do not recognize the leadership and power emanating from the headquarters.
- In the organization in the auto-parts sector, there is significant cultural coherence. Because the values are common, when there is a clash between actors, stability can be quickly established. Top management, therefore, can control processes without having to use coercive power.

### NEW INSIGHTS

- Organizations can benefit from the operational competencies established in their units, such as knowledge, processes and routines that are regularly used in problem solving, to leverage the company's competitive advantage as a whole.
- Social skills and power mechanisms affect the management and results of organizations. With a greater cohesion of values, clashes between actors are more easily resolved without needing to resort to coercive power.



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ORGANIZATIONAL STUDIES

# Dealing with diversity in Brazil

## RESEARCH IN FOCUS:

Context, public policies and  
business practices when dealing  
with diversity in Brazil

Maria Ester de Freitas

What public policies and business practices have been implemented to address diversity in society and Brazilian organizations?



## **OBJECTIVE TO DEVELOP AN INTEGRATING PERSPECTIVE OF THE CHALLENGES AND CHOICES OF PUBLIC AND PRIVATE PATHS INVOLVING UNFAVORED SOCIAL SEGMENTS.**

### **SNAPSHOT**

- Qualitative research was performed based on IBGE data, notably the 2010 Census; journals qualified by the Capes system in the administration area from 2000 to 2014; and research conducted by the Ethos Institute.
- Analyses were performed based on the following categories: the disabled, the LGBT community, gender (mainly focusing on women), Afro-descendants, the elderly and Indians.

### **RESULTS**

- The analysis showed that the design and introduction of public policies is fairly asymmetrical. Consolidated measures have been implemented for certain segments, such as the disabled, the elderly and women. In the case of Afro-descendants, apart from quotas in public office selection processes, they have great difficulty in identifying as a group. The LGBT community suffers from the same difficulty as the previous group apart from the approval of same-sex unions and have been subjected to laws that criminalize homophobia and rights related to the workplace. Indians are practically ignored in this particular field of policy. Everything related to the original Brazilians appears to be related to the demarcation of their lands.
- Companies have already become aware of the issue, which is an encouraging sign, and some are already developing innovative practices and seeking to consolidate a new mindset in the organization. Companies have recognized that prejudice occurs in society, changes will not occur for a long time, and certain segments are invisible on the radar of the interviewees; however, none of the company representative recognize discriminatory practices in their own work environment.

### **NEW INSIGHTS**

- Diversity must be analyzed across all categories. The study showed that for certain segments, such as the elderly, the disabled and women, more progress has been made than for other segments, such as Afro-descendants, the LGBT community and Indians. In all these segments, questions remain about the definition of their identity.
- The study shows that companies are an important part of a larger society and are influenced by its politics, culture and roots; however, companies can also exert influence via new advances and practices that are not only technical but that bring about changes in the social mentality.



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FINANCE AND ACCOUNTING

# Are accounting statements more intelligible?

RESEARCH IN FOCUS:

The impact of OCPC 07 on reducing the size of the explanatory notes of Brazilian companies

Edilene Santana Santos

Although shorter, clearer and more useful explanatory notes are recommended, Brazilian companies are still only completing the formalities without improving the readability for users.



## **OBJECTIVE TO ASSESS WHETHER THE EXPLANATORY NOTES OF FINANCIAL STATEMENTS IN BRAZIL HAVE BECOME SHORTER AND CLEARER AFTER NEW GUIDELINES WERE PUBLISHED.**

### **SNAPSHOT**

- Comparisons were performed between the size of the explanatory notes of more than 300 Brazilian companies listed on the BM & FBovespa before (2013) and after (2014 and 2015) Guideline No. 7 of the Accounting Pronouncements Committee (OCPC 07) was issued, which introduces the recommendation that only essential, relevant and clear information be published in the explanatory notes.
- An analysis was performed of the factors explaining the size and reduction in size of the notes. Changes in the readability indices of the notes that could indicate an improvement in communication with users are assessed.
- A comparison was performed of the size of the explanatory notes of Brazilian companies with that of English companies, which are considered a benchmark.
- Quantitative analyses of the data were performed.

### **RESULTS**

- The notes were found to have reduced by 10% on average under OCPC 07. However, the reduction was concentrated in companies on the Novo Mercado [New Market] and those audited by two of the Big 4 [audit firms].
- Even among companies that reduced their notes by at least 20%, no significant improvement in readability indices was observed nor was a departure from the copy-and-paste habit of auditor models observed, which might indicate a focus on the real accounting policies adopted by the company.
- The small observed reduction is still far from the benchmark, with Brazilian notes still 40% longer than those of English companies, which are considered to be a benchmark.

### **NEW INSIGHTS**

- The results indicate that the effectiveness of the new guidelines in reducing the size of notes was limited to companies with the highest level of corporate governance (Novo Mercado) and audited by two Big 4 audit firms.
- The study shows that purely formalistic behavior persists in the accounting policy notes because of the literal reproduction index of the models disclosed by audit firms as opposed to the disclosure of relevant economic information to the users of the explanatory notes.



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FINANCE AND ACCOUNTING

# Manipulating results in Brazilian banks

**RESEARCH IN FOCUS:**  
Earnings management in Brazilian financial institutions

Adriana Bruscato,  
Hsia Hua Sheng and  
Ana Luiza Gomes

**Institutions in Brazil use expenses with credit provisions to conceal losses or profits that are lower than that of the previous financial year.**

## OBJECTIVE TO ANALYZE THE STRATEGIES USED BY BRAZILIAN BANKS TO MANAGE THEIR RESULTS.

### SNAPSHOT

- A sample survey was performed of 123 banks in the Brazilian market between 2001 and 2012.
- An investigation into bank provisions was performed to identify credit losses as provided for by National Monetary Council Resolution 2682/99 (which suggests guidelines based on the risk of the debtor and guarantees involved but does not define objective criteria).
- A quantitative analysis was performed based on the relationship between net income and expenses as provisions for credit losses and other information, such as whether the bank has shares in the market, its dependence on loan activities and exogenous macroeconomic factors.

### RESULTS

- The results show that credit provisioning is used as a results management mechanism to “soften” the net income figure of Brazilian financial institutions.
- Banks use provisions to avoid showing negative results and not to show a reduction in profits relative to the previous period.
- Compared with what has been shown in previous studies, whether Brazilian banks seek to avoid a net income that is lower than that of a certain peer group has not been clarified.

### NEW INSIGHTS

- Because of the discretion allowed in Resolution 2682/99, the provision for credit losses is used as a management tool for reporting results, which is not an illegal practice; however, this behavior affects the risk perception of agents and analysts, and they should be aware of it and understand it.
- The results show that an understanding of local accounting rules is fundamental for correctly assessing the risk of a financial institution from the viewpoint of the regulator, the analyst or the investor.



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FINANCE AND ACCOUNTING

# Why small companies lose access to credit in a crisis

## RESEARCH IN FOCUS:

Asymmetric transmission of a bank liquidity shock

Rafael F. Schiozer and  
Raquel de Freitas Oliveira

In hard times, even large banks that receive more deposits do not increase their lending volume, which is mainly harmful to smaller organizations that have limited relationships with a bank.

## **OBJECTIVE TO INVESTIGATE THE EFFECTS OF THE FINANCIAL CRISIS ON LOANS FOR COMPANIES.**

### **SNAPSHOT**

- A survey was performed of the bank credit data of companies with loans above R\$ 5,000.00 between 2007 and 2009, which includes more than a million companies, of which 960,000 are small (up to 50 employees), and 190,000 are medium and large (above 50 employees).
- A statistical analysis of the data was performed that considered the effects of the credit supply and demand during the crisis.

### **RESULTS**

- Banks that suffered from a reduction in deposits reduced their supply of loans because of a lack of resources, and those with increased deposits did not increase their lending.
- Small businesses suffered the most from the reduction in credit.
- Companies that had a relationship with only one bank before the crisis had particular difficulties obtaining credit from other banks after the crisis.
- The effect was stronger in private banks, although it also occurred in state-owned banks.

### **NEW INSIGHTS:**

- A banking relationship is an important component of access to loans. Companies cannot quickly switch from one bank to another when required.
- The implicit guarantee given to large banks (“too big to fail”) causes a migration of deposits, which has a negative impact on the credit supply to companies, especially smaller companies that suffer under a reduction in the credit supply by banks they are used to working with, and they are unable to access financing in other institutions because the latter do not increase their lending.
- The rescue of large banks is based on the premise of avoiding a large reduction in the supply of credit in the economy. The results, however, show that there is a perverse effect of a reduction in credit supply in banks that do not have an implicit government guarantee.



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FINANCE AND ACCOUNTING

# Profitability to be desired

## RESEARCH IN FOCUS:

Do Brazilian investors miss out on profitability because of the dominant supply of highly liquid investments?

William Eid Junior and  
Pedro Luiz Albertin Bono Milan

Most investment funds in Brazil are highly liquid, although investors obtain better returns when they choose funds with longer redemption periods.

## **OBJECTIVE TO SHOW WHETHER INVESTMENTS THAT CALL FOR EXTENSIVE REDEMPTION PERIODS HAVE GREATER RATES OF RETURN.**

### **SNAPSHOT**

- A survey was performed on the data from 2335 equity, multimarket and fixed income investment funds between 2006 and 2014 with an average net worth of R\$ 450 million and an average activity period of seven years (2003 of them had a redemption period of less than 30 days).
- A statistical analysis of the data was performed.

### **RESULTS**

- The redemption period is an important variable for obtaining higher profitability. Very long redemption periods, however, do not lead to higher returns for the investor.
- The size of the fund, which is estimated by its net worth and the operating time variable, which is defined as the fund's age, have a positive impact on the fund's performance.
- The multimarket fund category presents the greatest response to the redemption period because it has greater flexibility when allocating and selecting assets, and the decision to demand a longer redemption period facilitates the financial allocation to less liquid assets.
- In fixed income funds, the redemption period is irrelevant for obtaining greater profitability for investors.

### **NEW INSIGHTS**

- The study shows that investors are favored by greater profitability when they choose investment funds that are not highly liquid; in other words, investors demand long redemption periods.
- The investment industry in Brazil is developing, and most of the products have immediate liquidity. However, research results show that these funds yield lower returns. Therefore, a culture change and/or a change in the level of investor knowledge of the relationship between liquidity and return are required.



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INFORMATION MANAGEMENT

# Fine adjustments in complex technology systems

## RESEARCH IN FOCUS:

Multiplex appropriation in the implementation of complex systems: the case of Brazil's correspondent banking system

Paul Leonardi,  
Diane E. Bailey,  
Eduardo H. Diniz,  
Dan Scholer and  
Bonnie Nardi

The introduction of correspondent banking systems in poor regions in Brazil shows that forcing a global technological alignment is impossible; thus, the best strategy is to be open to local adaptations.



## **OBJECTIVE TO IDENTIFY HOW LARGE AND COMPLEX SYSTEMS THAT HAVE VARIOUS ELEMENTS AND CONFIGURATIONS ARE INTRODUCED.**

### **SNAPSHOT**

- A qualitative study was performed of the introduction of a new banking system in Brazil.
- Forty-nine interviews were conducted with bank managers, banking staff, network integrators, owners and workers in correspondent banking outlets (small retail stores, lottery outlets, and post offices).
- Field visits were performed in São Paulo and Pernambuco.

### **RESULTS**

- Users (owners and workers in correspondent outlets) appropriated IT equipment as well as techniques (making the system work); functions (providing financial advice or helping elderly clients); use (inputting passwords at the request of customers); social policies (advising clients on personal issues); and banking policies (identifying methods of addressing cash limits).
- Low-income clients and residents of underserved areas interacted poorly with the equipment and were dependent on the banking correspondents. Designed to enable user transactions, correspondent outlets have become technology mediators and make adaptations and create multiple versions of the system.
- Post office correspondents and store employees felt socially rewarded as they gained recognition from the community for their actions. However, business owners indicated that the potential for attracting customers and increasing sales was the primary motivator for making the system work.

### **NEW INSIGHTS**

- The study suggests that the introduction of a complex system with multiple actors must be dynamic and allow for alignment with local contexts.
- The study highlights two types of rewards and incentives, social and financial, for ensuring the correspondents perform the adaptations required for the system to work.



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INFORMATION MANAGEMENT

# The effects of economic retraction on investments in technology

**RESEARCH IN FOCUS:**  
Economic crisis and investments in IT – 2016

Alberto Luiz Albertin and  
Rosa Maria de Moura Albertin

In times of crisis, Brazilian companies concentrate their efforts on improving infrastructure and processes for reducing costs and increasing productivity.

## **OBJECTIVE TO IDENTIFY THE IMPACT OF THE ECONOMIC CRISIS ON INVESTMENTS IN INFORMATION TECHNOLOGY (IT).**

### **SNAPSHOT**

- The main economic crisis indicators were established.
- An analysis was performed of their effects on the drivers of IT use, especially in the amount invested.
- A study was performed using data from 2015 and compared with a similar study performed with 2009 data.

### **RESULTS**

- Company investments in IT decreased with the economic crisis but did not disappear altogether. Such investments were directed towards infrastructure and processes related to organizational transactions in an attempt to reduce costs and increase productivity.
- A reduction in consumption leads companies to seek solutions for reducing costs via greater process automation. In situations in which the current crisis continues as it is or worsens, companies indicate that they will seek further cost reductions and productivity increases. In a recovery situation, a move will be made to improve quality and increase flexibility and innovation.

### **NEW INSIGHTS**

- Research shows how companies adjust their investments in IT during economic crises and prioritize cost savings and increased productivity.
- A comparison with the previous crisis led to the conclusion that IT investment behavior is similar and reactive in most cases. Several companies, however, plan their investments to achieve sustainability during the crisis and to achieve positive future scenarios, more planned and predictable investments are implemented in the initial period as well as during and after this period.



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INFORMATION MANAGEMENT

# The impact of technology on the financial results of Brazilian industry

## RESEARCH IN FOCUS:

*Impact of investments in IT on the financial performance of Brazilian industries*

Fernando de Souza Meirelles  
and Luci Longo

The study shows that 7% growth in the operational results occurs for each 1% invested in information technology (IT).

## **OBJECTIVE TO ANALYZE THE IMPACTS OF SPENDING AND INVESTMENTS IN INFORMATION TECHNOLOGY ON THE FINANCIAL PERFORMANCE OF BRAZILIAN INDUSTRIES.**

### **SNAPSHOT**

- Research was performed with 119 publicly traded Brazilian industrial companies with shares on Bovespa covering the period from 2001 to 2014.
- A 63-company survey of expenditures and investments in IT (53% of the study population) was performed.
- A model was developed for assessing the impact of investments in IT on company results.
- A statistical analysis of the data was performed.

### **RESULTS**

- A 1% increase in spending and investments in IT results in a 7% increase in the operating result after two years.
- The industries that invested the most in IT obtained higher growth in their operating revenue and better operating results.
- Investments in IT directly affect the operating income by improving operating costs and increasing revenue.
- A cost classification program prevents waste, interference, and other problems that cause deviations from the annual budget.

### **NEW INSIGHTS**

- The research shows the impact of spending on IT on the financial performance of companies and shows that this effect is delayed; in other words, previous investments in IT have an impact on the results within a two-year horizon.
- Even if it is not possible to accurately predict the result of a particular IT initiative, methods of finding patterns can be reproduced for managing IT costs with the aim of eliminating unwanted impacts. IT costs can be preventively managed using a cost classification program.



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HEALTH MANAGEMENT

# The bases of health administration

## RESEARCH IN FOCUS:

Brazilian scientific production in health administration: scope and differentiation

Germany Gonçalves Veloso and  
Ana Maria Malik

Studies in health administration prioritize different dimensions that affect the public area.

## **OBJECTIVE TO IDENTIFY THE FACTORS THAT DEFINE THE STUDY AREA IN HEALTH ADMINISTRATION.**

### **SNAPSHOT**

- Researchers interpreted scientific articles published in various journals to classify them in different areas of health management.
- Lexicographic analyses were performed for articles in health administration.
- Interviews were performed with managers, magazine editors, teachers from the area and a number of the most cited authors in the field of health administration.

### **RESULTS**

- A clear and consensual understanding of health administration has not been reached, although a shared understanding is observed among researchers in the field.
- The concepts of organization, service provisioning, health, and equity are closely associated with health administration. Articles in this research area are characterized by the public concept and not the private. Although economic and financial aspects are not common topics of health administration research, the cost of health administration is a focus.
- Based on a data analysis, the processes and structures of health administration research that have economic/financial, quality, equity and professional impacts on organizations and health systems were defined.

### **NEW INSIGHTS**

- Compared with the usual performance criteria or objectives of organizations, financial stakeholders
- are not a priority for patients, society or health professionals.
- This study can contribute to the development and strengthening of the health administration area; however, a clear and shared scope is not observed in the field because the frontiers are confused with those of other scientific areas, such as business administration, public administration, preventive medicine, collective health, public health, economics and health economics.



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HEALTH MANAGEMENT

# Patient safety in hospitals depends on the managers

**RESEARCH IN FOCUS:**

Patient safety in organizational culture as perceived by the leaders of hospital institutions that have different types of administration

Natasha Dejigov Monteiro da Silva,  
Antonio Pires Barbosa,  
Kátia Grillo Padilha and  
Ana Maria Malik

Leaders must arrange resources, infrastructure and procedures and involve the entire organization to create a culture of risk minimization.



## **OBJECTIVE TO IDENTIFY THE PERCEPTION OF LEADERS WITH REGARD TO THE DIMENSIONS OF ORGANIZATIONAL CULTURE IN PUBLIC AND PRIVATE HOSPITALS.**

### **SNAPSHOT**

- A quantitative study was conducted with 103 professionals (nurses, doctors, administrators, pharmacists, physiotherapists and nutritionists, among others) in eight hospitals (two private hospitals, three administered under management contract and three autonomous government agencies).

### **RESULTS**

- The factors considered most important for the safety culture are the organizational climate (provisioning of infrastructure, resources and procedures to develop a safety culture); organizational learning (a learning culture in which changes are introduced after mistakes are made) and management types (private or governmental).
- In private hospitals, the responses were more homogeneous than in the public hospitals, which might indicate a greater dissemination of the subject matter in public hospitals.
- In public hospitals, a greater tendency for continuous learning was identified.

### **NEW INSIGHTS**

- Managers must invest in actions and processes for strengthening organizational learning and improving the safety climate to benefit patients as well as the organization as a whole.
- The results indicate that effective patient safety actions depend on resources (material, technological, human and financial), infrastructure and procedures and also require learning at all levels in the organization.
- Not all dimensions have the same weight for the development of a patient safety culture; therefore, the most relevant dimensions must be investigated. An aspect that was highlighted in the study refers to the development of mechanisms for encouraging a culture of mutual trust, which allows for greater openness so that errors are reported and corrected.



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ATTRIBUTES FOR OPERATING IN HIGHLY DEMANDING MARKETS

# Atributos para atuar em mercados de alta exigência

## RESEARCH IN FOCUS:

The quality attributes of a highly specified product: evidence from the specialty coffee business

José Márcio Carvalho,  
Ely Laureano Paiva and  
Luciana Marques Vieira

An exploration of the special coffee niche indicates that companies are organized into an agile model that focuses on the search for continuous improvements in quality.

## OBJECTIVE TO IDENTIFY THE MAIN ATTRIBUTES OF THE GOURMET COFFEE PRODUCTION CHAIN.

### SNAPSHOT

- Case studies were performed with 12 organizations and coffee shops of different sizes.
- Interviews were performed with managers and specialists in the coffee chain.
- Direct observations were conducted in gourmet coffee stores in São Paulo.

### RESULTS

- Two groups were identified: (1) independent stores that focus on the preparation of coffee; and (2) integrated stores that are more complex organizations responsible for manufacturing and preparing coffee and have the capacity to assume responsibility for the quality of the coffee they sell.
- Interviewees were able to explain in detail the different origins of the coffee they served. They emphasized the quality and expertise involved in the production process, especially in the integrated stores.
- Coffee shops need to react quickly to new trends in coffee consumption and show a concern for supplying new experiences.
- Because they address low volumes of trade and inventory, coffee shops are able to work with the short life cycles of the specialty coffee market, especially the independent shops.

### NEW INSIGHTS

- The specialty coffee market revealed that organizations operate according to a different mass consumption (commodities) market logic, which is closer to the luxury industry.
- Supply chain relationships are organized around a central concept of producing and selling a highly specified product in the search for continuous improvements in quality.
- A more balanced power relationship is observed between sellers and buyers than in the mass market because suppliers sell premium products, which leads to higher prices for end consumers.



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OPERATIONS AND LOGISTICS MANAGEMENT

# How the production chain resists change in times of crisis

## RESEARCH IN FOCUS:

An analysis of resilience in Brazilian supply chains at times of economic and political turbulence

Priscila Laczynski de Souza Miguel  
Vanessa Barreto and  
Vanessa Scaciotta

Companies with different links search for other suppliers and customers to minimize the impact of political and economic instability.

## **OBJECTIVE TO IDENTIFY HOW SUPPLY CHAINS ADDRESS POLITICAL AND ECONOMIC CRISES IN BRAZIL.**

### **SNAPSHOT**

- Qualitative research was performed in three sectors (coffee, hygiene products and steel) and considered the political and economic crises of 2014 and 2015.
- Interviews were performed with managers from different links in the chain.

### **RESULTS**

- The crisis has a knock-on effect on chains, although the links are affected differently. When consumers reduce their purchases and/or migrate to cheaper products, demand throughout the chain is affected, although suppliers are less affected because they can find new market opportunities outside the usual network.
- Economic and political crises amplify the supply risk in chains. Orders are canceled, and companies reduce their production capacity, and determining whether suppliers can be relied upon is difficult. A direct effect is also observed on the financial aspect, and in many cases, losses caused by exchange rate variations cannot be passed on to customers.
- To mitigate risks, companies constantly monitor and control quality processes as well as the financial situation of suppliers. Companies also diversify in terms of supply companies. On the demand side, companies also adopt a diversification strategy and eventually enter new markets and begin exporting products.

### **NEW INSIGHTS**

- Organizations from emerging countries are more susceptible to crisis risks than firms in developed economies because they suffer from the greater instability in the exchange rate.
- Brazilian companies are still developing a risk mitigation culture in the supply chain, and although they do not anticipate impacts on their operations, they react rapidly and flexibly (two competencies of resilient companies).



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OPERATIONS AND LOGISTICS MANAGEMENT

# Which competencies are the most relevant in logistics and the supply chain?

## RESEARCH IN FOCUS:

Logistics and supply chain professionals in Brazil – the 3rd phase

Priscila Laczynski de Souza Miguel,  
Manoel Reis and  
Claudio Minerbo

Professionals from this field must identify methods of relating to their internal and external audiences; however, executive education programs do not emphasize this aspect.

## **OBJECTIVE TO IDENTIFY THE COMPETENCES REQUIRED IN THE LOGISTICS AND SUPPLY CHAIN MANAGEMENT AREAS AND ASSESS HOW THESE COMPETENCIES ADHERE TO THE EXECUTIVE EDUCATION PROGRAMS OFFERED IN BRAZIL.**

### **SNAPSHOT**

- A quantitative survey was conducted with 235 logistics professionals from different sectors.
- Forty-nine different competencies were classified into six topics: professional education; interpersonal relationships; strategic vision; operations management; technology and processes; and familiarity with other areas in the organization.
- A qualitative analysis was performed of 10 executive education programs in Brazil.

### **RESULTS**

- Competencies linked to interpersonal and organizational relationships were the most relevant, whereas those linked to professional education were the least relevant, indicating that professionals are more valued for their knowledge.
- Interpersonal relationships are not explicitly featured in executive education programs.
- With regard to strategic vision, decision-making capacity has been the most relevant competency. Although risk management is also critical, it is rarely addressed in education programs.
- With regard to operations management, competencies linked to operational routines are addressed by the programs. However, management competencies, which are relevant at the managerial level, do not appear to be addressed by most programs.
- Technology and processes are of great importance to professionals, although the subject is rarely addressed by the programs.
- The priority given to competencies related to operations is broad and depends on the context of the companies and the professionals.

### **NEW INSIGHTS**

- Professionals must develop the competencies required to relate to internal and external audiences through self-knowledge exercises or group work.
- Executive education programs address the key competencies only partially. Differentiation can be implemented by updating their programs so that stakeholders recognize that the key competencies are, indeed, being offered.



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OPERATIONS AND LOGISTICS MANAGEMENT

# Are we ready to address the new wave of innovation?

## RESEARCH IN FOCUS:

The sixth wave of innovation:  
Are we ready?

Glessia Silva and  
Luiz Carlos Di Serio

To survive the Age of Sustainability, companies must develop platforms for systematically obtaining innovation that better exploit available resources.

## **OBJECTIVE TO SHOW HOW SUSTAINABILITY, THE SIXTH WAVE OF INNOVATION IN HISTORY, CAN AFFECT ORGANIZATIONS.**

### **SNAPSHOT**

- The five previous waves of innovation were discussed and the sixth wave (Sustainability) was presented.
- The degree to which companies are prepared for the new wave was investigated.

### **RESULTS**

- Five historical waves of innovation have been observed (The Industrial Revolution; The Steam Age; The Electricity Age; The Age of Mass Production; and Information and Communication Technology and Networks), and signs of a sixth wave, Sustainability, have emerged.
- Companies that are best able to use the available resources rather than companies with the most resources gain a competitive advantage. Sustainable innovation creates better products and more efficient practices and enables companies to explore new markets.
- Various stages to sustainability are observed. In the first stage, companies consider sustainability an obligation and seek to adjust to the regulations. In the second stage, companies strive to make the whole production chain sustainable. In the third stage, companies attempt to design sustainable products and services. In the fourth stage, companies develop sustainable business models. In the last stage, companies create platforms for systematically obtaining sustainable innovation. Most companies in Brazil are still at the first stage, although some have moved on to the second.
- Sustainability requires a change that is not only technological but also social, cultural and organizational.

### **NEW INSIGHTS**

- The article discusses the possible direction that companies can take to prepare for the newly emerging wave of innovation: Sustainability.
- For companies to achieve sustainability, they need to adopt a business model that addresses processes, service and products and considers each environmental and social problem as an opportunity to offer a solution.



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OPERATIONS AND LOGISTICS MANAGEMENT

# Competitive advantage in the supply chain

## RESEARCH IN FOCUS:

Consolidation of the constructs of supply chain management practices and capabilities and their impacts on operational and business performance

Eliciane Maria da Silva,  
Ely Laureano Paiva,  
Luiz Artur Ledur Brito,  
Luiz Carlos Di Serio,  
Susana C. Farias Pereira,  
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Julia Pinto de Carvalho

Management practices throughout the production chain lead to a superior performance compared with the competition.

## **OBJECTIVE TO ESTABLISH HOW THE MAIN PRACTICES IN THE SUPPLY CHAIN ARE DEFINED AND DETERMINE THEIR IMPACT ON PERFORMANCE.**

### **SNAPSHOT**

- An analysis was performed of theoretical concepts in supply chain management based on 2,252 studies.
- Interviews were performed with eight managers from the supply area of four multinationals from different countries of origin that operate in Brazil.

### **RESULTS**

- The integration, information, sustainability, relationships, continuous improvements and innovation concepts are mutually related via management practices. For example, integration and sustainability are related to practices such as supplier audits and partner selection based on sustainability criteria.
- Certain practices can be assessed as specific, whereas others are broad and serve multiple relations. For example, the practice of having quality/continuous improvement committees involves the interaction of different departments/partners (integration/relationship), the fostering of incremental improvements in products and processes (relationship/continuous improvement), the fostering of innovation in products and processes (relationship/innovation) and the interaction of different agents as the drivers of continuous improvement (continuous improvement/integration).
- Companies adopt practices according to their competitive priorities, which help improve processes, reduce costs, and improve quality, which is reflected in the operational and business results.

### **NEW INSIGHTS**

- Companies accumulate expertise by improving their supply chain management practices that have an influence on business performance and provide them with advantages over their competitors.
- Management practices are selected according to the competitive focus of companies and have different levels of complexity, magnitudes of impact and stages of development.



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KNOWLEDGE STRATEGIES

# Strategies for disseminating Brazilian scientific production

## RESEARCH IN FOCUS:

Mapping out the international inclusion of Brazil's field of information management studies

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José Eduardo Ricciardi Favaretto,  
Henrique Pontes Gonçalves de Oliveira and  
Débora Vicente Richter Brólio

Brazilian participation in the main international congresses can leverage the publication in relevant journals in the area of information systems management.

## OBJECTIVE TO IDENTIFY THE CONTRIBUTION OF BRAZILIAN RESEARCHERS TO THE INTERNATIONAL INFORMATION SYSTEMS SCENE.

### SNAPSHOT

- Data were collected from the Lattes Platform, Google Scholar and the personal web pages of 554 researchers with PhDs that were obtained between 2010 and 2015.
- A detailed analysis was performed of a group of 50 researchers with at least five international publications.
- The internationalization profile of Brazilian researchers in the field of information systems management was identified based on a three-dimensional analysis: education, research dissemination, and collaboration in international networks.

### RESULTS

- The top researchers with international exposure are mainly from institutions in the southeast (62%) and south (32%) of Brazil.
- One-third (29%) of the 366 articles in international congresses were published by seven researchers. Of the 156 articles that were sent to international journals, only 28 went to relevant publications.
- Projects are distributed in six countries, predominantly the United States and Germany.

### NEW INSIGHTS

- Sandwich PhDs (jointly performed in Brazil and abroad) and participation in post-doctoral programs are important elements for the international integration of the Brazilian scientific community studying information systems management.
- Two distinct groups were identified: one group (43 researchers) focuses on publications, congresses and periodicals with low impact, and the other group (seven researchers, whose education is based on a sandwich PhDs and post-doctoral courses abroad) publishes in congresses and international journals at rate that is double the average rate of publication of the 50 evaluated researchers.
- The participation of Brazilians in the main international congresses can leverage their insertion in leading-edge journals.



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RESEARCH AND KNOWLEDGE

# The social impact of knowledge

## RESEARCH IN FOCUS:

Social impact: a study of selected Brazilian graduate programs in business administration

Thomaz Wood Jr.,  
Caio Cesar Medeiros Costa,  
Giovanna de Moura Rocha Lima and  
Rosana Córdova Guimarães

Graduate programs in business administration have an opportunity to improve their influence in the academic area, in companies and in the media.



## OBJECTIVE TO ASSESS HOW THE TEACHING ADMINISTRATION OF BRAZILIAN INSTITUTIONS AT THE GRADUATE LEVEL BENEFITS SOCIETY.

### SNAPSHOT

- Research was performed for the main Brazilian graduate programs in administration: FEA-USP, FGV-EAESP, PPGA-UFRGS and CEPEAD-UFMG.
- The educational background of researchers in doctoral programs was evaluated based on the number of graduating researchers and their insertion in the labor market.
- The scientific knowledge generated by the programs was evaluated based on the number of citations of the researchers' in academic journals.
- An analysis was performed of the repercussion of the programs in the media by surveying the extent to which the researchers and their studies were cited in the most relevant journals and newspapers in Brazil.

### RESULTS

- Considerable variation is observed in the size and the educational capacity of the programs researched. The FEA-USP program, with 56 teachers in 2013, graduated 199 PhDs between 2008 and 2012, the CEPEAD-UFMG program, with 28 teachers in 2013, graduated 38 PhDs between 2008 and 2012.
- Of those educated in the four programs, 84% followed an academic career; and between 28% (FEA-USP) and 35% (FGV-EAESP) of those completing their PhD followed a business career or business and academic careers simultaneously.
- The FEA-USP and FGV-EAESP programs had an impact on the scientific community that was greater than that of the other programs. Within these programs, great heterogeneity is observed, with between 18% and 32% of the professors having a maximum of five articles cited at least five times each.
- Only 3.2% of the media texts that were analyzed (86 out of 2674) cited researchers or their scientific work. FGV-EAESP proved to be the institution with the greatest presence in the media.

### NEW INSIGHTS

- The teacher-PhD ratio of 3.6 for the USP, 3.3 for the FGV-EAESP, 2.2 for the UFRGS and 1.4 for the UFMG reveals that programs can improve their educational capacity.
- Graduate programs also produce professionals who take the acquired knowledge beyond the academic environment, which shows that there is potential in Brazil for the creation of vocational PhD programs (DBAs).
- The proportion of researchers with a low rate of academic citations suggests scientific production with low dissemination and/or use in the scientific community.
- The still modest presence of researchers in the media suggests an opportunity for the media and academia to establish closer ties, which has the potential to increase the dissemination of knowledge.



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SUSTAINABILITY

# The exchange of organizational knowledge in sustainability

**RESEARCH IN FOCUS:**

Social learning for adapting to climate change: evidence from a community of practice

Renato J. Orsato,  
José Guilherme Ferraz de Campos and  
Simone Ruchdi Barakat

Drawing inspiration from other organizations helps companies develop initiatives for adapting to climate change but does not guarantee the implementation of such initiatives.

## **OBJECTIVE TO UNDERSTAND HOW SOCIAL LEARNING CONTRIBUTES TO THE DEVELOPMENT OF ORGANIZATIONAL ADAPTATION TO CLIMATE CHANGE.**

### **SNAPSHOT**

- A study was performed of the initiative of the FGV-EAESP Center for Sustainability Studies (GVCes), which promotes an exchange of business practices for assisting with organizational adaptation to climate change.
- Interviews were held with managers from nine companies in different sectors and the coordinators of the GVCes working group.
- Observations were recorded in workshops and meetings of the working group.

### **RESULTS**

- Learning with other organizations has proved to be fundamental for acquiring knowledge and conducting corporate actions for adapting to climate change.
- Drawing inspiration from other organizations was especially useful for companies establishing action agendas. In certain cases, these agendas were developed only after participation in the working group.
- Organizations have developed competencies (1) by adapting and developing tools, guides and strategies jointly; (2) by presenting and simulating actions before implementing them, and (3) by preparing experimental plans with limited scope rather than a broad plan that is difficult to correct.
- Only one company showed any evidence of success incorporating the working group's theme into the company's strategic agenda, which mapped out the risks as well as the opportunities. Most of the interviewees mentioned the difficulty of prioritizing the subject in organizations.

### **NEW INSIGHTS**

- The study shows that organizations can benefit from using social learning for conducting activities for adapting to climate change.
- Although the exchange between organizations promotes reflection, inspiration and connections, such an exchange does not ensure the application of the resulting learning in day-to-day routines or in strategies.



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# Public Administration

POLITICAL SCIENCE

PUBLIC MANAGEMENT

PUBLIC POLICIES





POLITICAL SCIENCE

# Business articulation based on the coup in 1964

## RESEARCH IN FOCUS:

Businesspeople and workers in the discourse of IPES from 1961 to 1965: improbable administrative harmony

Amon Barros and  
Adéle Carneiro

On the eve of the dictatorship, businesspeople adopted a “humanistic” discourse for calming down the working class, which was later substituted by a defense of rationalist and “safe” techniques.

## **OBJECTIVE TO UNDERSTAND HOW THE BRAZILIAN BUSINESS COMMUNITY CONSTRUCTED A DISCOURSE THAT WAS ALMOST LIBERAL IN THE CONSERVATIVE ECONOMIC POLITICAL ENVIRONMENT THAT COLLABORATED WITH THE CONQUEST OF HEGEMONY IN SOCIETY.**

### **SNAPSHOT**

- A textual analysis was performed on the documents of the IPES (Institute for Research and Social Studies) business organization maintained in the National Archive.
- Other historical sources were also used, such as books, theses and articles.
- An assessment was performed of the construction of relationships between the business community and other sectors that supported the coup against João Goulart.

### **RESULTS**

- In the 1960s, entrepreneurs sought to construct a discourse that would associate their interests with those of workers.
- The IPES worked closely with the Catholic Church and the US government via the Alliance for Progress program.
- The Brazilian business community as a unitary class actively sought to construct a coherent discourse that would guarantee its pressure power over government.

### **NEW INSIGHTS**

- As in other countries, a “humanist” discourse was used by businesses to reduce conflicts with workers.
- The increase in the political space of workers was an important driver of the association between Brazilian businesspeople and led to the emergence of a more “humanist” discourse. The coup affected Brazilian managerial discourse, which abandoned the burgeoning humanism and adopted a tone that was close to a rationalist discourse and therefore acted as a guardian of the standardization of safe techniques for controlling “national order”.
- The association model of the business community that was used in the pre-coup can be useful for assessing other movements within the political sphere of these groups and influencing governments and the conduct of the state more generally.



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POLITICAL SCIENCE

# The role of the sub-conscious in power

**RESEARCH IN FOCUS:**  
Geoculture: missing in action

Antonio Gelis Filho

Psychological aspects that are often unpredictable but serve as the axis for the current world political and economic system must be identified.

## **OBJECTIVE TO IDENTIFY THE STATE OF THE ART IN RESEARCH INTO GEOCULTURE WITHIN THE PARADIGM OF THE ANALYSIS OF WORLD SYSTEMS.**

### **SNAPSHOT**

- A review was performed of the literature and of the conceptual evolution of geoculture, which is defined as widely accepted ideas, values and norms for restricting and conducting social action.
- The concept of geoculture was developed, with an emphasis on the unconscious processes of global systems.

### **RESULTS**

- World systems are power structures, and a geoculture of ideas, values and norms is necessary for guiding and serving as the axis for sustaining the division of labor that characterizes the world political-economic system.
- The evolution of geoculture is a central component used in building a global system, and it is the structure underlying the symbolic/psychological processes of exchange that occur in society.
- The symbolic system does not function in the same way as the material system because the exchange of symbolic goods is largely unconscious. For example, we might ask: why did young people wear jeans as a symbol of the decline of the Soviet Union? Although a rational and clear connection is observed between the material good (jeans) and their meaning (freedom), certainly this symbol had already been worn out since the 1968 revolution in the West. The image did not have the same impact on young people from countries such as Cuba and North Korea. Symbolic exchanges are influenced by groups, by the environment, and by individual experience.

### **NEW INSIGHTS**

- The study shows the importance of unconscious aspects represented by the psychological forces in world systems.
- Geoculture is important, particularly in times of systemic breakdown when small shortcuts can determine unexpected results, which are often caused by the psychological reactions of those who feel lost with the collapse of the symbolic and systemic order around them.



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POLITICAL SCIENCE

# The “personal vote” does not elect parliamentarians in Brazil

## RESEARCH IN FOCUS:

Electoral concentration in Brazil  
from 1994-2014

George Avelino,  
Ciro Bideman and  
Glauco Peres da Silva

Successful federal deputy candidates show a reduced electoral concentration compared with defeated candidates.

## OBJECTIVE TO ASSESS WHETHER FEDERAL DEPUTY CANDIDATES' VOTES ARE CONCENTRATED IN MUNICIPALITIES.

### SNAPSHOT

- An electoral concentration measure previously developed by the authors was used to consider the distribution of votes in relation to the distribution of voters.
- A comparison was performed of the electoral concentration levels in municipalities and state regions among all candidates running for election as federal deputy in the last six elections, covering a period of 20 years.

### RESULTS

- A clear difference is observed between the electoral concentration of elected and non-elected candidates. In most cases, the votes of those who succeed tend to be far more scattered than those who fail in the attempt.
- The votes of successful candidates are not concentrated in the municipality, although regionally, in the surrounding municipalities (a microregion).
- Evidence suggesting that successful candidates always expand their electorate contiguously from the concentration municipality was not observed. These candidates can recruit voters from both nearby and distant municipalities in the state from the microregion.

### NEW INSIGHTS

- The idea that elected candidates rely on local leaders and the “personal vote” is not consistent with the facts. According to the research, the votes of the elected candidates are not concentrated in the municipality. This type of strategy seems to be primarily used by candidates entering the system.
- Approximately 70% of all Brazilian municipalities have less than 20,000 inhabitants, and few of them have enough voters to guarantee victory in the elections. Thus, successful candidates start from a regional electoral strategy.
- The results of the research raise two questions: does the political system function in a geographically concentrated way and do parliamentarians favor such fragmented policies?



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PUBLIC MANAGEMENT

# Evaluating social impact in areas of vulnerability

## RESEARCH IN FOCUS:

An evaluation of the social impact of impact businesses in the housing area

Edgard Barki,  
Tânia Veludo-de-Oliveira and  
Felipe Zambaldi

The social impact of businesses in the housing area can profoundly change the lives of people and create mechanisms for a more inclusive capitalism.

## OBJECTIVE TO IDENTIFY THE SOCIAL IMPACT OF TWO BUSINESS MODELS IN THE HOUSING AREA.

### SNAPSHOT

- Thirty in-depth interviews were conducted in three communities (Jardim Ibirapuera, Jardim da Glória and Casa Branca).
- Three focus groups were held with clients of Terra Nova (which works as an intermediary for the sustainable regularization of land in private urban areas that are irregularly occupied) and Vivenda (which refurbishes houses on the outskirts of São Paulo).
- A survey was performed of Terra Nova and Vivenda clients.
- A qualitative analysis was performed of the social impact of the two businesses (Terra Nova and Vivenda).

### RESULTS

- In the case of Terra Nova, a perception was observed of increased capital, security, happiness, self-esteem, a feeling of being able to improve life, social inclusion and improvements in the community itself.
- In the case of Vivenda, a perception was observed of increased capital, greater practicality and comfort, improvements in health, increased self-esteem, greater sociability, improved family relationships and a feeling of being able to improve life.
- Land regularization in Terra Nova creates a sense of community, whereas the conquest is individual in Vivenda. For those interviewed, the perception of improvement in the community as a whole would occur only if every house in the neighborhood were to be refurbished.

### NEW INSIGHTS

- The study made it possible to go beyond the most basic impacts and analyze the deeper change caused in people's lives; moreover, the study identified how the resolution of basic housing issues increases people's self-esteem and functions as a driver of improvements in both personal and professional life.
- Working with vulnerable populations requires alternative models and forms of research, such as in-depth interviews that enable a relationship of trust to be built with people who usually experience feelings of exclusion and exploitation.



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# How to construct actions in partnership with local agents

## RESEARCH IN FOCUS:

Strategies for combatting juvenile social vulnerability and local development

Tiago Corbisier Matheus and  
Lucio Bittencourt

Initiatives with partners in vulnerable regions depend on the availability of the parties, the capacity to listen and the social and institutional context.



## OBJECTIVE TO BUILD GUIDELINES FOR THE ACTIONS OF RESEARCHERS IN PARTNERSHIP WITH LOCAL AGENTS FOR PROMOTING DEMOCRATIC PRACTICES.

### SNAPSHOT

- Thirty-three activities (workshops) were conducted with 298 young people and teachers in three partner institutions from the central region of M'Boi Mirim: two state elementary and middle schools and one cultural production and education organization.
- An analysis of field research as a shared construction project was performed.

### RESULTS

- In the first school, where one of the researchers had a discussion on representation and political rights with the history teacher, the results were unfavorable because the school team was divided and a clear opening for the proposed partnership was not observed.
- In the second school, which is located in a region of greater vulnerability, joint actions were more feasible because of the availability and openness of the parties, and they also identified with the common goals (the promotion of democratic practices, listening to the parties). However, the difficulties were significant because of the complicated context, the work overload of the teachers, the organizational changes and the lack of a cohesive management body.
- In the cultural action group, despite financial difficulties, the researchers found clear guidelines and cohesive members. A mapping activity could be conducted with those who regularly visited the place and who marked "their shanty" on a large map of the region fixed to the wall, which represented an unusual experience for the majority of participants, who were able to recognize themselves from the exercise.

### NEW INSIGHTS

- Considerable urban vulnerability aggravates the difficulties and tensions experienced in institutions, and intensify the challenges of researchers who are committed to local development.
- Joint actions cannot be homogenized in favor of equity because they depend on the researcher's ethics and ability to mediate under the vicissitudes of the context.
- Listening to teachers and young people is an important resource for mobilizing and linking people, and it is also the basis of each learning process or social action.



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# What does the state need to be capable of achieving?

## RESEARCH IN FOCUS:

State capabilities and the implementation of public policies

Maria Rita Loureiro,  
Fernanda Lima-Silva,  
Anna Mortara and  
Adriana Aranha

In addition to technical capabilities, the ability to form relationships with other segments of government and civil society partners is essential for implementing public policies.

## OBJECTIVE TO UNDERSTAND HOW STATE CAPABILITIES CAN BE STUDIED AND DEVELOPED.

### SNAPSHOT

- A study review of state capabilities was performed, including a survey of the difficulties faced and solutions found for analyzing, operationalizing and measuring the concept.
- An analysis was performed of the state capabilities in five federal policies: the Cisterns Program; Naval Industry Revitalization; My House My Life (MCMV); the Family Farming Food Acquisition Program (PAA) and the Bolsa Familia [Family Allowance] Program.

### RESULTS

- Measures of state capability must be separated from the results' measures of the capability, and exogenous factors (such as the level of economic growth) must be separated from endogenous factors.
- State capability involves both the technical-operational capability and the political-relational capability. For example, in the Cisterns Program, which aims to ensure that low-income rural families living in semi-arid regions have access to water, the state initially relied on technical-operational capabilities (such as edicts and monitoring), although these capabilities were precarious, and it did not rely on political-relational capabilities (such as ways of relating to society). Technical capabilities, such as the standardization of edicts and monitoring software; and political-relational capabilities, such as the creation of the National Council for Food and Nutritional Safety (Consea) and courses for beneficiaries that emphasize a new vision for living in a semi-arid climate were developed and improved during the program.

### NEW INSIGHTS

- The study shows the challenges underlying the analysis, development and monitoring training required to implement public policies.
- The study draws attention to the need to study technical-operational training as well as political-relational capabilities, which represent the skills needed to relate to other segments of government bureaucracy and civil society partners in a coordinated way.



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# Indicators of how the state prepares itself to act

## RESEARCH IN FOCUS:

State capacities and problems with their operationalization

Maria Rita Loureiro,  
Natasha Borali and  
Lauro Emílio S. Gonzalez

Factors that include the education level of teachers and doctors/nurses have a significant influence on the results of public policies.

## **OBJECTIVE TO DISCUSS HOW THE CONCEPT OF STATE CAPACITY CAN BE ASSESSED IN THE DAY-TO-DAY ROUTINE OF PUBLIC POLICY IMPLEMENTATION.**

### **SNAPSHOT**

- An analysis was performed of GDP, state expenditures and bureaucracy in the area of education and health for all Brazilian states.

### **RESULTS**

- Expenditures on education and health account for only 4% of the variation in the illiteracy rate and 8% of the variation in the infant mortality rate, respectively.
- The per capita GDP variation in Brazil accounts for only 20% of the changes in illiteracy rates and 7% of the changes in infant mortality rates.
- The level of teacher training explains 19% of the reduction in the rate of illiteracy accounted for by the educational capacity of the Brazilian State between 1999 and 2008.
- The increase in the number of doctors and nurses explains 18% of the reduction in infant mortality rates.
- The regional factor affects the results of state capacity, although differently in each area of public policy.

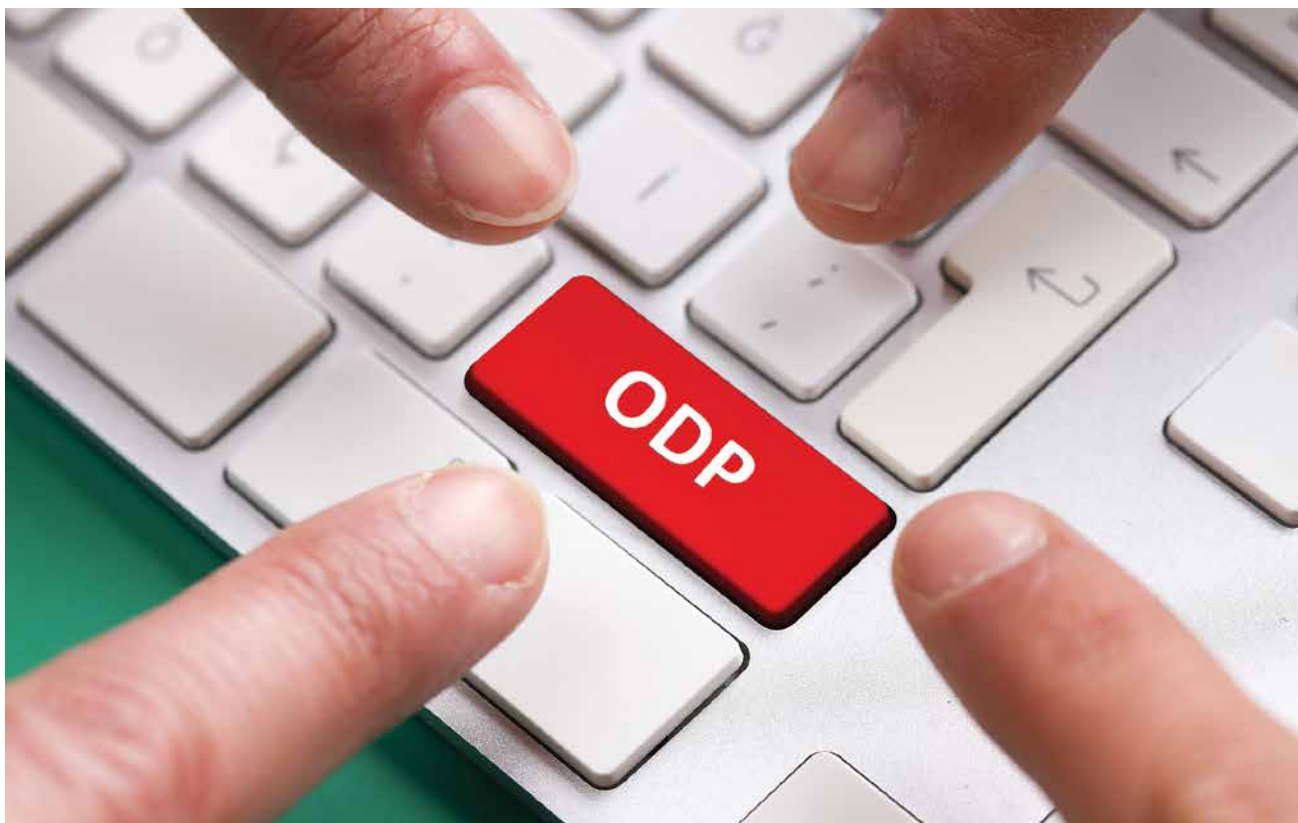
### **NEW INSIGHTS**

- Capacity measures refer to factors that are endogenous to the bureaucratic apparatus of the state and responsible for the effective implementation of public policies. The following are examples: the higher education of teachers in the public education network when the determinants of the reduction of illiteracy are analyzed and the proportion of doctors and nurses per capita in reducing child mortality.
- The relevance of economic factors (the level of wealth of the country expressed in GDP per capita) and government expenditures in determining state capacity are low because these indicators are not measures of capacity but the results of the policies or the implementation of public policies.
- Regional differences statistically reveal clues to the determinants of state capacity.



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# Between the lines in participative e-government

## RESEARCH IN FOCUS:

Making sense of decreasing citizen e-participation through a social representation lens

Marlei Pozzebon,  
Maria Alexandra Cunha and  
Taiane Coelho

Despite government efforts to improve the Participatory Digital Budget (DDP) platform in Belo Horizonte, citizen participation reduced because of issues with communication and policy dimensions.

## OBJECTIVE TO INVESTIGATE THE LOW INVOLVEMENT OF CITIZENS IN A PARTICIPATORY DIGITAL BUDGET (DDP) PLATFORM.

### SNAPSHOT

- A case study was performed of the participatory digital budget of the city of Belo Horizonte from 2005 to 2011.

### RESULTS

- Although the municipal government of Belo Horizonte has invested over three editions of the budget to technically improving the participatory digital budget, citizen involvement has progressively decreased from 172,000 people in the first edition to 124,000 in the second and 25,000 in the third.
- This decrease occurred because the symbolic sphere, which explains how people make sense of and react to such initiatives, was disregarded.
- Communication, both directly by the government and the press, trivialized the participatory budget process by linking it to the well-known (and worn-out) concept of voting by reproducing the status quo. No other images were linked to a process of social and political innovation.
- Instead of emphasizing the possibilities of the proactive participation of the population in public decisions, the communication actions highlighted the aspect of digital technology as a tool.
- The voices of citizens were absent from the media (which repeated government discourse), and the government's voice was absent from the discussion forums in which citizens became involved.

### NEW INSIGHTS

- The emphasis on the participatory electronic budget as an instrument for voting rather than as a way for citizens to play an active role in political decisions discouraged participation.
- Technical aspects are fundamental, although governments that wish to exploit the full potential of the tools used for increasing public participation in public management must pay more attention to their communication and political practices.



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PUBLIC MANAGEMENT

# Effects of Brazil's new anti-dumping decree

## RESEARCH IN FOCUS:

The impact of enacting Decree 8058/2013 on anti-dumping investigations in Brazil

Sergio Goldbaum and  
Euclides Pedrozo Jr

The average investigation period has been reduced, although it is still longer than that in other countries, and the number of trade defense measures has increased since 2013.

## **OBJECTIVE** TO EXAMINE THE EFFECTS OF THE NEW ANTI-DUMPING DECREE ON THE NUMBER OF INVESTIGATIONS AND THEIR TIME PERIOD IN BRAZIL.

### SNAPSHOT

- A survey was performed of the evolution of the legislation on trade defense measures in Brazil from 1994 to 2016.
- An analysis was performed of the main trade defense trends in Brazil and the world.
- A statistical analysis was performed of the effects of Decree 8058/2013, which changed the procedures relating to anti-dumping investigations in Brazil and reduced the time periods for investigation and the granting of provisional rights during the process.

### RESULTS

- The number of anti-dumping measures in force increased after the new decree was approved. The decree contributed to an average growth of 38% in the number of trade defense measures that were active after August 2013.
- The time required to conduct anti-dumping investigations has declined but is still statistically higher than that in other countries.

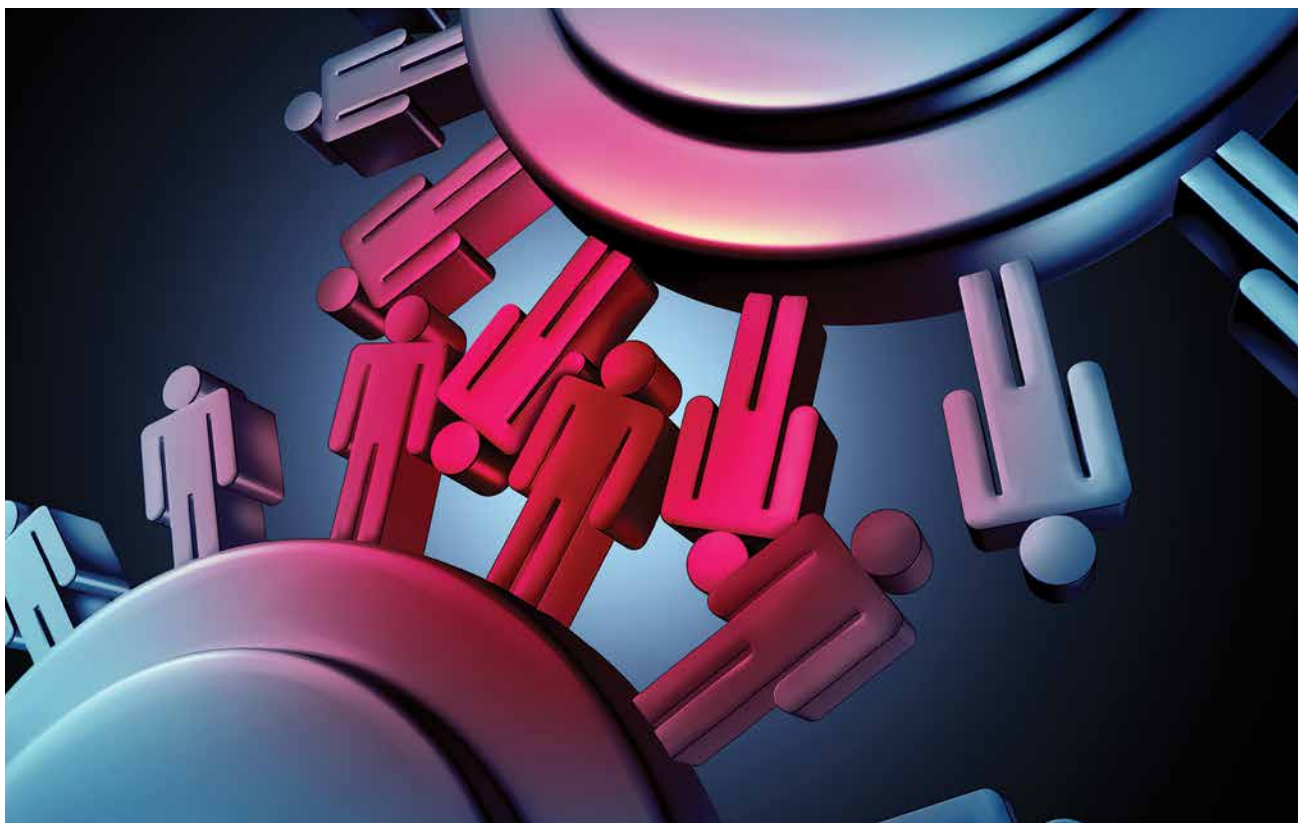
### NEW INSIGHTS

- The number of anti-dumping investigations started in Brazil increased considerably after 2010 and reached a peak in 2013, which coincided with the enforcement of Decree 8053/2013.
- The average duration of investigations in Brazil that ended with the application of the anti-dumping law decreased after the enforcement of Decree 8,058/2013 compared to the average duration between 2009 and 2013. The average time, however, is still higher than that in other countries, whose investigation periods also fell during the same period.



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PUBLIC MANAGEMENT

# Results of federal cooperation

## RESEARCH IN FOCUS:

Cooperation in a heterogeneous federation: the collaboration regime in education in six Brazilian states

Fernando Luiz Abrucio and  
Catarina Ianni Seggatto

Elementary education can be improved via a permanent and systemic institutionalized coordination policy between states and municipalities.

## OBJECTIVE TO ANALYZE HOW BRAZILIAN STATES ORGANIZE THEIR RELATIONSHIPS WITH MUNICIPALITIES IN EDUCATION.

### SNAPSHOT

- A general map was constructed of the relationships between states and municipalities in all 26 state units based on documents and interviews.
- Field research was conducted in the six states with the highest degree of federal cooperation: Acre, Ceará, Mato Grosso do Sul, Minas Gerais, Pará and São Paulo.

### RESULTS

- Interstate differences in socio-economic, institutional and policy choice terms lead to different models of federal coordination.
- Ceará and Mato Grosso do Sul are more coordinative states and have specific bodies for this practice. Acre and Minas Gerais are intermediate states without institutionalization but with agreements. In São Paulo and Pará, debates about cooperation are not held and only (and only in São Paulo) open programs are conducted in which municipalities can participate.
- Only Ceará has built a more permanent and systemic model of cooperation, thereby placing the relationship with municipalities at the center of its education policy, particularly in its Literacy at the Right Age Plan (PAIC), the state's most strategic action. This cooperative policy was responsible for a great improvement in the results in the state's elementary school system.

### NEW INSIGHTS

- State governments can adopt articulation measures with local governments, either via their teaching network, which the federal government does not have, or via induction or resource transfer education policies. However, research shows that cooperation between states and municipalities in Brazilian education is fragile.
- The study revealed that elementary education can be improved via federal cooperation between states and municipalities. Differences between states, however, must be considered, and in certain areas, the government will be more central than in other areas.



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# A new macro-economy for Brazil to start growing again

## RESEARCH IN FOCUS:

A reflection on new developmentalism and classic development

Luiz Carlos Bresser-Pereira

New developmentalism is an alternative and innovative theory for managing economic policy and is anchored in administering the exchange rate.

## **OBJECTIVE TO CLARIFY HOW THE THEORY OF NEW DEVELOPMENTALISM CAN INTRODUCE NEW IDEAS FOR MANAGING MEDIUM-INCOME COUNTRIES, SUCH AS BRAZIL.**

### **SNAPSHOT**

- A comparison was performed of new developmentalism with other economic theories.
- A presentation was provided of the new developmentalist theory.

### **RESULTS**

- Compared with neoclassical theory, new developmentalism does not assume that markets tend to equilibrium; therefore, it argues for an active macroeconomic policy.
- Compared with Keynesian macroeconomics, for which the existence of demand guarantees investment and full employment, new developmentalism argues that the exchange rate must be managed to guarantee investment and full employment. Countries such as Brazil tend to have an overvalued exchange rate, which is suitable only for sectors that rely on the exploitation of abundant and cheap resources and is unfeasible for industrial businesses that use modern technologies. Therefore, this tendency must be neutralized.
- Compared with social-developmentalism, which advocates high wages and immediate consumption, new developmentalism believes that long-term social objectives can be achieved only with a competitive exchange rate. Moreover, new developmentalism indicates that the social state can be built with progressive taxation, an increase in the minimum salary and a reduction in the interest rate.
- For new developmentalism, (a) the profit rate must motivate companies to invest; (b) the exchange rate should make competent firms competitive; (c) the interest rate should be as low as possible; (d) the wage rate should increase with productivity and be consistent with a satisfactory profit rate; (e) the rate of inflation must be less than two digits; and (f) the state should incur high public deficits only when the country faces recession.

### **NEW INSIGHTS**

- New developmentalism is being built as an innovative alternative for managing the economic policy of countries such as Brazil.
- For new developmentalism, fiscal responsibility is not enough, and exchange rate responsibility is also required.



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PUBLIC POLICIES

# Bringing the population closer to bureaucracy can improve housing policies

**RESEARCH IN FOCUS:**

The value of proximity combined with discretion for improving public housing policies

Lauro Gonzalez,  
Marlei Pozzebon,  
Fernanda Lima-Silva and  
Lucas Ambrozio

Agents who present similar knowledge and understanding as the beneficiaries of programs such as Minha Casa, Minha Vida [My House, My Life] are able to mediate conflicts with entities and between the users themselves.



## **OBJECTIVE TO UNDERSTAND HOW PUBLIC HOUSING POLICIES CAN BE IMPROVED VIA A STRATEGY FOR BRINGING ORGANIZATIONS CLOSER TO USERS THROUGH AGENTS THAT DEAL DIRECTLY WITH THE POPULATION.**

### **SNAPSHOT**

- A study was conducted of the Minha Casa, Minha Vida-Entidades [My House, My Life-Entities] program based on the cases of Amova (Association of Youth and Adult Literacy Movement) in the Nova Conquista (NC) housing complex and MSTL1 (East 1 Landless Movement) in the José Maria Amaral and Florestan Fernandes condominiums.
- Document analysis, study location observations and 18 semi-structured interviews were performed.
- The relationships were identified between the entities involved in the program: Ministry of Cities, Caixa, the organizations involved, technical assistants and municipal governments.

### **RESULTS**

- The cases analyzed show how mediation mechanisms are used to make the Minha Casa, Minha Vida-Entidades program work. Agents close to the beneficiaries helped resolve conflicts externally with the various entities involved or internally by mediating issues involving the users themselves.
- Although communication issues are relevant, the interaction between actors also involves political issues, and individuals with similar values and political views helped address the challenges.

### **NEW INSIGHTS**

- Significant obstacles to the implementation of the Minha Casa, Minha Vida-Entidades program can be overcome or minimized via a strategy for bringing people together that is similar to the strategy used in microcredit policies.
- An understanding of the mechanisms of interaction between entities and actors must go beyond the purely communication aspect and involve political aspects.



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PUBLIC POLICIES

# On the way to a specific education in public policy

**RESEARCH IN FOCUS:**

Social pathologies in the metropolis of São Paulo: a socio-spatial analysis of indicators in the city's sub-administration offices

Francisco C. P. Fonseca,  
Graziela S. Perosa,  
Cristiane K. S. Leite and  
Frederic Le Baron

An innovative approach to social indicators shows that certain pathologies are linked to poverty and other pathologies, such as suicide and mental disorders, are linked to economic development.

## OBJECTIVE TO IDENTIFY AND ANALYZE “SOCIAL PATHOLOGIES” IN THE CITY OF SÃO PAULO.

### SNAPSHOT

- A cross-check was performed of the indicators related to the objective conditions of the population (such as income, education and public infrastructure) with dimensions that are considered to be methodologically “subjective”, such as the suicide rate, dropping out of high school and aggression towards women and children.
- A statistical analysis was performed of the indicators of city sub-administration offices in São Paulo based on the 2010 Census.

### RESULTS

- Most of the social pathologies in São Paulo have an economic dimension. Social pathologies can be related to economic hardship (poverty-related crime, for example) as well as to “situation hardship”, and variables such as suicide and mortality caused by mental disturbance or cancer are concentrated in the city’s wealthiest regions and linked to symbolic violence indicators (school failure, weak family ties, feelings of insecurity).
- The distribution of social pathologies is linked to levels of schooling as observed in the case of suicide, which is more frequent in regions of the city where higher education predominates.
- The rate of aggression against females also reveals the “position hardship” because such violence is more frequent among women who live on the city’s outskirts and in regions with greater levels of schooling (high school). The rate of aggression against children is distributed throughout the whole of the social structure and shows a slight inclination toward regions with an intermediate income.

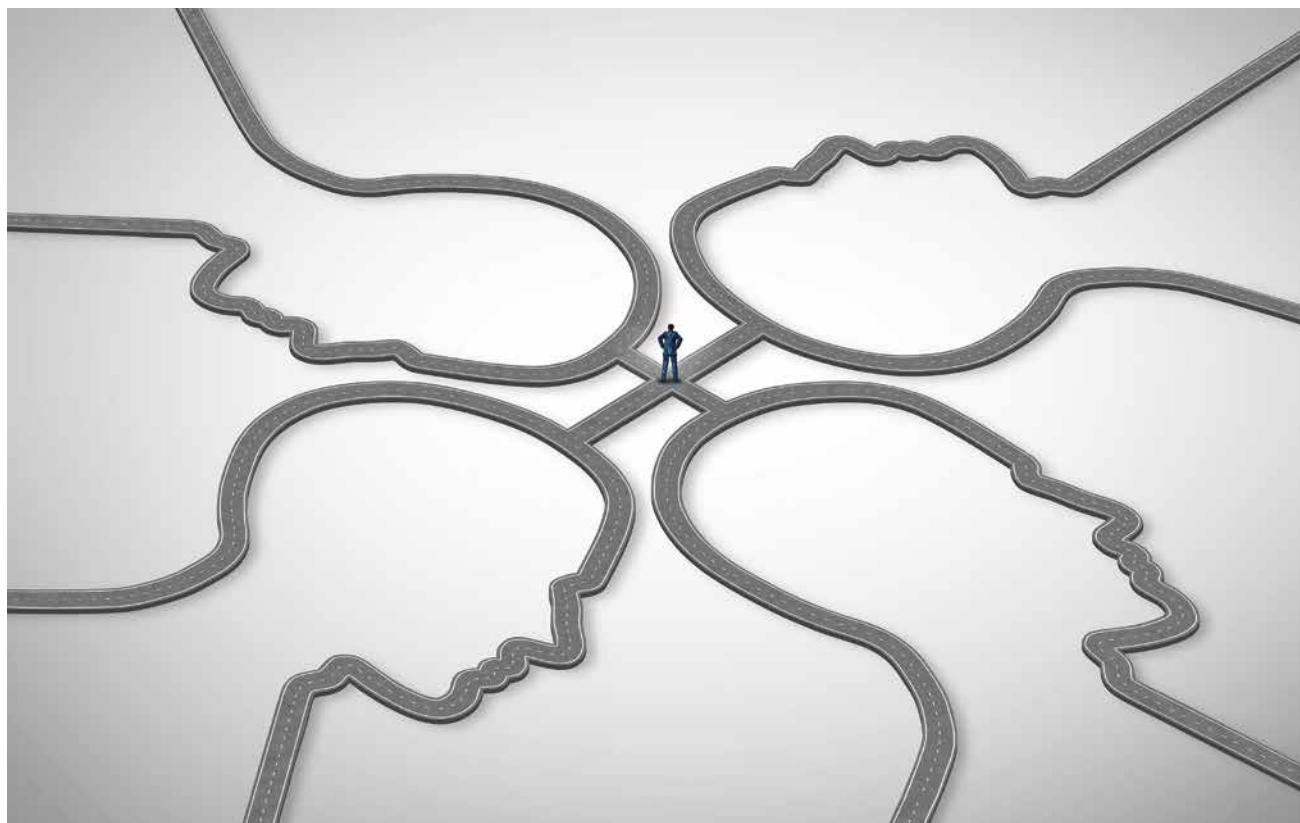
### NEW INSIGHTS

- The cross-checking of qualitative and quantitative indicators based on the Social Health Index captures subtleties in the inequalities that occur in apparently homogeneous territories. A study of this set of indicators enables a better understanding of the more complex and contradictory social dynamics of a macrometropolis, such as São Paulo, and shows the need for new paradigms for managing public policies.
- The study shows that “situation hardship” occur that are related to economic difficulties and “position hardship” occur that are linked to indicators of symbolic violence, which tend to increase with economic development.



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PUBLIC POLICIES

# On the way to a specific education in public policy

**RESEARCH IN FOCUS:**

Public policy education in Brazil: from the pioneering initiatives of the 1960s to the institutionalization of the “field of public administration studies.

Marta Ferreira Santos Farah

A cohesive community is emerging to overcome the barriers arising from the fragmentation of this field of studies.

## OBJECTIVE TO ANALYZE THE DEVELOPMENT OF PUBLIC POLICY EDUCATION IN BRAZIL.

### SNAPSHOT

- A survey was conducted of pioneering initiatives in public policy education in Brazil.
- A study review was performed of the institutionalization of public administration and political science in Brazil and an analysis was conducted of the role of education in this process.
- A survey was performed of the evolution of undergraduate and graduate courses and public policy content in the syllabuses of different areas of knowledge.

### RESULTS

- The pioneering educational initiatives in public policy that were developed by the public administration and political science areas in the 1960s were interrupted by the dictatorship environment.
- Incipient institutionalization in the 1980s within the framework of the country's democratization centered on the development public policy studies and did not include an independent education in relation to the mother disciplines (public administration and political science).
- The boom in undergraduate courses in public administration, public management, public policy and correlated subjects, which began in the mid-2000s, includes public policy curricular content as a central element.
- From the 2000s, growth was observed in graduate programs that integrate public policy content into various areas of knowledge.

### NEW INSIGHTS

- The institutionalization of the public administration field is based on the constitution of a community with a common agenda. Education takes center stage in this process, which initially occurs at the undergraduate level and then at the graduate level. An education specifically in "public administration" is advocated.
- Internal diversification is observed in this education at the graduation level, with the private sector providing shorter courses and technology courses and the public sector offering mainly undergraduate courses. In graduate studies, professional Master's degrees have been created, whereas academic Master's and PhD courses that include public policy content have expanded.
- Public policy education now represents an element that is central to the institutionalization of the new field of public administration studies.



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SUSTAINABILITY

# Solutions for the financing of NGOs that fight for rights

**RESEARCH IN FOCUS:**

Civil society organizations and the fight for rights in Brazil: analysis of an evolving context and future challenges

Patricia Mendonça,  
Mário Aquino Alves and  
Fernando do Amaral Nogueira

Para obter sustentabilidade financeira, organizações precisam abrir-se ao diálogo com diferentes doadores e impactar a agenda de justiça social no Brasil.



## **OBJECTIVE TO ANALYZE THE IMPACTS OF SOCIO-ECONOMIC AND CULTURAL CHANGES IN NGOS THAT DEFEND RIGHTS SINCE THE DEMOCRATIZATION OF BRAZIL.**

### **SNAPSHOT**

- A qualitative analysis was performed of the organizational and cultural characteristics of human rights organizations in Brazil.

### **RESULTS**

- The rights defense field is fluid and dispersed, with various organizations promoting different activities. However, a unified identity is observed that was constructed during the military period and is based on a common ideology and structures that are influenced by external financing.
- With the change in the flow of international resources, which have stopped entering Brazil, NGOs have found it difficult to finance themselves because they have a culture that is refractory to interactions with market entities. Little inclination is observed on the part of private Brazilian organizations to fund rights defense NGOs.
- In a scenario of challenges and adversities, new methods of guaranteeing funds have emerged (for example, through corporate foundations, investment funds and donors that focus on South-South cooperation).

### **NEW INSIGHTS**

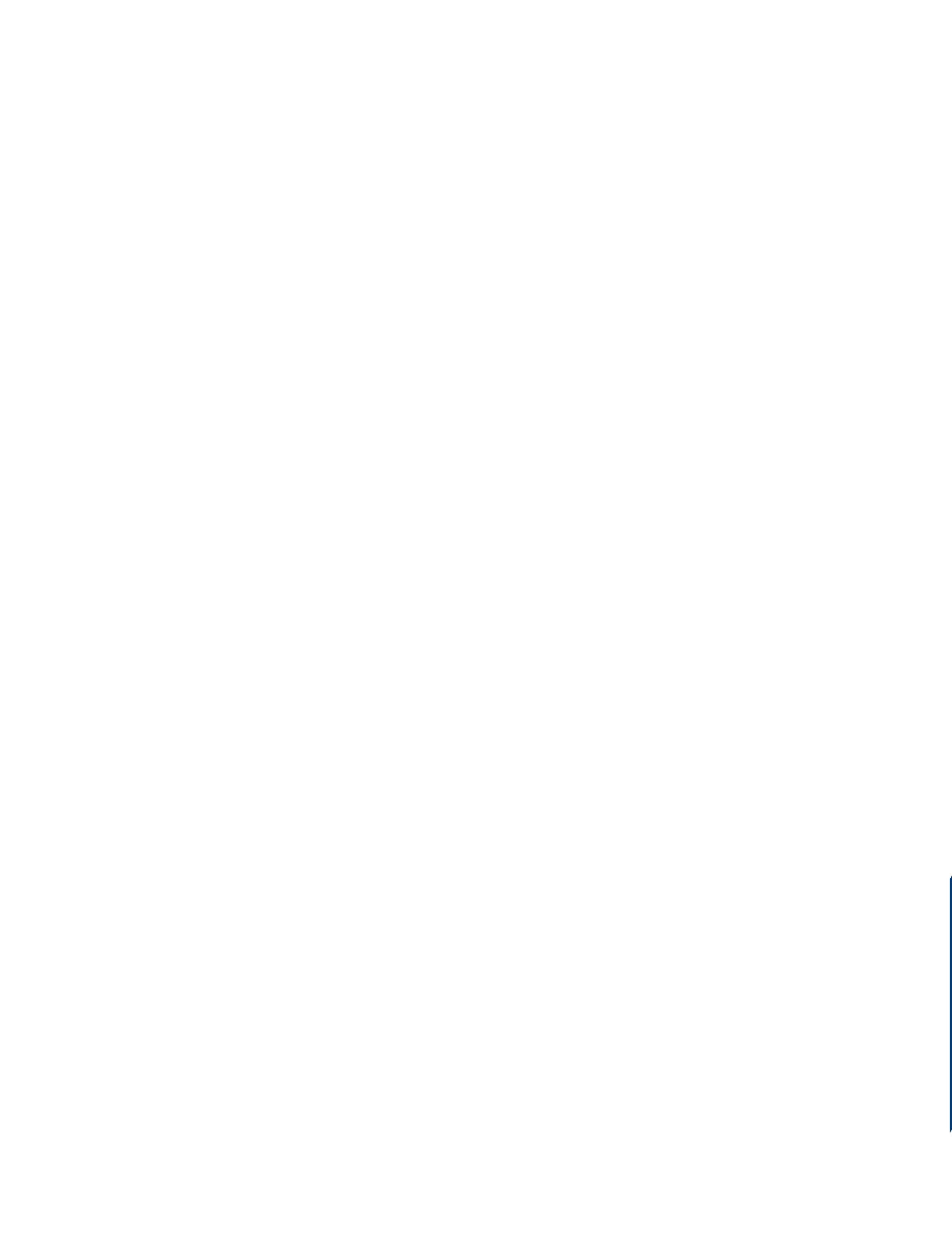
- Rights defense NGOs need to create professional structures to process, produce and disclose information about the rights field and their activities and thus show their singularity and supply the public's demand for transparency.
- New structures should also help organizations design and consolidate strategies for securing funds.
- To enable new connections, rights defense NGOs need to address their migration from an internally unified identity to a unified identity that also resonates outside their borders.
- Possibilities have been emerging for strengthening NGOs. The impact of this change will depend on the construction of synergies with the different donor types and the capacity of these NGOs to influence discussions on the social justice agenda in Brazil.



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# Books, Essays and indicators

BOOKS PUBLISHED IN 2016

PRIZE-WINNING ESSAYS

RESEARCH INDICATORS



## Books published in 2016



**Projetos de Tecnologia de Informação: como aumentar o valor que o uso de tecnologia de informação agrega às organizações**

**Alberto Luiz Albertin; Rosa Maira de Moura Albertin (Org.)**

1. ed. São Paulo: Editora Atlas, 2016. v. 1. 337p.



**Smart Cities: transformação digital de cidades**

**Maria Alexandra Cunha; Érico Przybilovicz; J. Macaya; Fernando Burgos**

1. ed. São Paulo: Programa Gestão Pública e Cidadania - PGPC, 2016. v. 1. 161p.



**Capital Humano, Gestão Pública e Competitividade**

**Maria Tereza Leme Fleury; Maria Rita Loureiro (Org.); Fernando Luiz Abrucio (Org.); Rodrigo Bandeira de Mello (Org.)**

1. ed. Rio de Janeiro: Editora FGV, 2016. v. 1. 255p.



**The Competitive Advantage of Emerging Market Multinationals**

**P. J. Williamson (Org.); R. Ramamurti (Org.); Afonso Carlos Corrêa Fleury (Org.); Maria Tereza Leme Fleury (Org.)**

1. ed. Cambridge: , 2016. 187p.



## Macroeconomia Desenvolvimentista – teoria e política econômica do novo desenvolvimentismo

Luiz Carlos Bresser-Pereira; José Luis Oreiro; Nelson Marconi

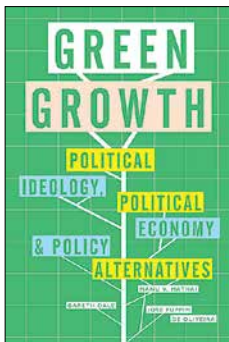
1. ed. Rio de Janeiro: Elsevier Editora Ltda., 2016. v. 1. 250p.



## Formação de Professores no Brasil – diagnóstico, agenda de políticas e estratégias para a mudança

Fernando Luiz Abrucio

1. ed. São Paulo: Editora Moderna, 2016. v. 1. 79p.



## Green Growth: ideology, political economy and the alternatives

Gareth Dale (Org.); Manu V. Mathai (Org.); Jose Puppim de Oliveira (Org.)

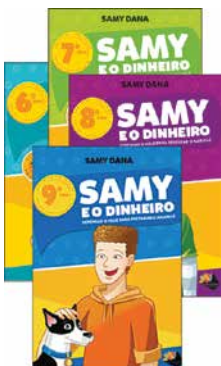
1. ed. London: Zed Books, 2016. v. 1. 323p.



## Gestão Hospitalar – indicadores de qualidade e segurança higiênico-sanitário na hotelaria

Djair Picchiai; Eneo Alves da Silva Jr; Roberto Maia Farias

1ª. ed. Caxias do Sul: Editora dea Universidade de Caxias do sul, 2016.



## Samy e o Dinheiro: repensar o hoje para preparar o amanhã - 6º, 7º, 8º e 9º anos (aluno e professor)

Samy Dana

1. ed. Serendipe, 2016.



## Narrativas em Disputa: segurança pública, polícia e violência no Brasil

Renato Sérgio de Lima

1. ed. São Paulo: Alameda Casa Editorial, 2016. 208p.

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**Author:** Edimilson Costa Lucas

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**Region:** Fortaleza/CE

**Authors:** Eurídice Gomes da Silva Hernandez and Ninna Nanni Guimarães

**Supervisor:** Érica Souza Siqueira

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**Region:** Uberlândia / MG

**Authors:** Jéssica Cavalcante Almeida and Larissa Santos Duarte

**Supervisor:** Fábio Grigoletto

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**Region:** Iperó / SP

**Authors:** Ana Laura R. Ferreira Ferrari, Clara Meirelles Papaterra Limongi, Jonas Toralba Batista, Marina Freire Fontoura and Stefania Pereira de Mello Molina

**Supervisor:** Luiz Pinheiro Junior

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research lines

**59**  
professors

**440**  
articles published  
in Brazil

**253**  
articles published  
abroad

**132**  
articles published abroad in  
jcr journals

**55**  
articles published abroad in  
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classifications

## APPLIED RESEARCH – 2013-2016

**12**  
Study Centers

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**722**  
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chapters published  
in Brazil

**258**  
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**1.1**  
**million**

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