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Young Adult Lifestyle and Cardiovascular Risk

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Abstract- Introduction: Lifestyle directly influences cardio-vascular health; therefore, encouraging young people to adopt healthy habits through physical activity, dietary re-education, and non-use of tobacco can prevent the emergence of these diseases.

Objectives: To evaluate the factors that predispose the cardiovascular health of young adults to risks, making a correlation with lifestyle.

Methods: This is a cross-sectional study with a quantitative approach. Some data were collected, such as blood pressure, muscle strength, total and fractionated cholesterol, blood glucose, anthropometric measurements, bioimpedance, heart rate, double product recovery after exercise test, and lifestyle.

Results: There were 52 participants, and only 31 completed all assessments. The mean age was 42.5 ± 6.1 years. The majority were female; there were six hypertensive patients, two with isolated systolic hypertension, and four had high blood glucose; all recovered their heart rate and the double product at the end of the fifth minute after exercise.

Keywords: cardiovascular risk, chronic diseases, lifestyle.

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Young Adult Lifestyle and Cardiovascular Risk

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Results: There were 52 participants, and only 31 completed all assessments. The mean age was 42.5±6.1 years. The majority were female; there were six hypertensive patients, two with isolated systolic hypertension, and four had high blood glucose; all recovered their heart rate and the double product at the end of the fifth minute after exercise. The cardiovascular risk measured by the Framingham score was moderate at 12%

and severe for 9% of participants; the rest were classified as low risk. The Framingham score was associated with lifestyle (r=0.43). Cardiovascular risk was significantly increased for those participants who declared living in a stressful environment (p=0.03), for smokers (p=0.003), for males p=0.0006, for sedentary people (p=0.003).

Conclusion: Severe and moderate cardiovascular risk was found for 22% of the sample. Male sex, smoking, sedentary lifestyle and living in a stressful environment were the main cardiovascular risk factors found.

Keywords: cardiovascular risk, chronic diseases, lifestyle.

1. INTRODUCTION

In recent years, there has been an increase in the occurrence of cardiovascular diseases (CVD) around the world, resulting in a greater risk to the health and development of the population. These diseases are currently characterized as one of the main causes of death in the world¹, with an estimate of 23 million deaths annually by 2030, predominantly in low- and middle-income countries².

Various factors can be considered when analyzing the risk of developing CVD, such as smoking, physical activity, body mass index (BMI), blood pressure, glycemia, cholesterol, environment, and others³. Several studies have shown that the greater the number of factors, the greater the risk of cardiovascular events^{4, 5, 6}, emphasizing the importance of measuring risks and applying them to individuals and the population, in order to propose health promotion actions aimed at preventing diseases and illnesses⁷. However, implementing lifestyle change strategies and interventions on a population basis is still a challenge.

In recent years, there has been an increase in the occurrence of cardiovascular diseases (CVD) worldwide, resulting in a greater risk to the health and development of the population. These diseases are currently characterized as one of the main causes of death in the world⁸, with an estimated 23 million deaths per year by 2030, predominantly in low- and middle-income countries⁹.

A low-risk profile for cardiovascular disease (untreated cholesterol <200 mg/dL, untreated blood pressure <120/<80 mm Hg, never smoked and no history of diabetes mellitus or myocardial infarction) in middle age is associated with markedly better health

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outcomes in older age, but few middle-aged adults have this low-risk profile¹⁰. In a study¹¹ with 3,154 participants, the authors examined whether the adoption of a healthy lifestyle throughout young adulthood is associated with the presence of a low cardiovascular disease risk profile in middle age, and concluded that maintaining a healthy lifestyle throughout young adulthood is strongly associated with a low cardiovascular disease risk profile in middle age. Individual and public health efforts are needed to improve the adoption and maintenance of healthy lifestyles in young adults.

In view of the above, there is a clear need to evaluate the factors that predispose to cardiovascular health, as well as to analyze the increase in cardiovascular risks in relation to normal levels, establishing a correlation with the lifestyle of young adults. The aim of this study was to identify the main risk factors for cardiovascular health in young adults associated with lifestyle, to analyze the cardiovascular health risks of young adults between the ages of 30 and 50, and to correlate the risks with the lifestyle of young adults.

II. METHODS

This is a cross-sectional study with a quantitative approach. The project was approved by the Research Ethics Committee (CEP) under opinion no. 5.311.307. Young adults of both sexes were recruited, with a minimum age of 30 and a maximum age of 50. The study did not include individuals undergoing chemotherapy, post-surgery patients with less than a year to go before surgery, patients discharged from hospital after less than six months, individuals with stroke sequelae or COVID-19.

Some data were collected, such as blood pressure, muscle strength, total and fractional cholesterol, blood glucose, anthropometric measurements, bioimpedance, heart rate, double product, recovery of the double product after an exercise test, lifestyle, and Framingham cardiovascular risk. The data were analyzed to find out if there was an increase in cardiovascular risk in these participants.

a) Anthropometric Assessment

A portable electronic scale from the Multilaser brand was used to measure the weight of all the participants, with a capacity of 150 kg and a sensitivity of 100g. The participants removed their shoes and jackets, respecting everyone's privacy. The participant was positioned in the center of the equipment, in an upright posture, with their feet together and arms outstretched close to their body. The participant remained in this position until the reading was taken¹².

b) Bioimpedance

Bioimpedance testing (BIA) assesses body composition, and is a simple, non-invasive procedure

with reproducible results and rapid acquisition of muscle mass and fat mass in grams and percentages. From this test it is possible to obtain data on body hydration, bone density, visceral fat and basal metabolic rate¹³. To carry out the test, the participant lay supine and the electrodes were placed on the upper and lower limbs while the software recorded the data.

c) Blood Pressure Measurements

BP was measured according to the VII Brazilian Guideline on Hypertension of 2016¹⁴, with the patient resting for 3 to 5 minutes in a quiet environment, before and during the measurement. In the sitting position, with legs uncrossed, feet flat on the floor, back against the chair and relaxed. The participant was instructed not to talk during the measurement, and any doubts were clarified before or after the procedure.

d) Heart Rate

Heart rate was measured using the patient's wrist. Once the artery was located, the index and middle fingers were pressed down and the rate was measured for 60 seconds using a digital or analog clock. Reference values vary between age groups. In this study, the value used for adults was 60 to 100 beats/min¹⁵.

e) Capillary Blood Glucose

A calibrated Accu-Chek glucose meter was used to obtain capillary blood glucose values. The participant's finger was wiped with 70% alcohol to decontaminate it, and then the test strip was inserted into the device. With the lancet, a small hole was made in the digital pulp of the finger, and blood was collected with the reagent strip to obtain the glycemic reading from the device.

f) Lipid Profile (Total Cholesterol, Fractionated and Triglycerides)

Approximately 10 ml of blood was collected by venipuncture for the biochemical measurement of Low-Density Lipoprotein (LDLc), High Density Lipoprotein (HDLc) and Tricylglycerides (TG). The blood samples were processed and the serum (for TC, TG, LDLc and HDLc) and plasma (for glycemia) were analyzed in a clinical analysis laboratory. Serum levels of TC, HDLc and TG were obtained using the colorimetric-enzyme method^{17, 18}.

g) Heart Rate Recovery and Double Product

The step test to check heart rate (HR) recovery was carried out with the individual at rest, the first HR data was collected, followed by BP. Afterwards, the individual walked up and down an 11-step staircase for three minutes, then was instructed to sit down and HR and BP were collected again. This measurement is called peak exercise data, after which the data is collected every minute, with the subject always sitting down, and then the HR and BP recovery per minute is

observed, totaling five minutes of recovery time and six HR samples.

The data was collected with the participant in the supine position, placing the forearm next to the lower chest with the elbow at a 90° angle. A superficial artery in the area was palpated and gently compressed, thus counting the arterial beats for 1 minute. The reference value for HR in adults is 60 to 100 beats per minute¹⁵.

The double product (DP) is an indirect predictor of myocardial oxygen consumption and is a parameter of cardiovascular risk during exercise. The double product is the multiplication of heart rate (HR) by systolic blood pressure (SBP)¹⁹.

h) Framingham Cardiovascular Risk

The Framingham study is the most widely used theoretical framework in the world, which shows a causal relationship with CVD. Thus, based on its relevance, the use of the ERF justifies the appropriate stratification of CVR for future CVD. Thus, the primary outcome of the study is to assess cardiovascular risks in young adults.

i) Data Analysis

All results were expressed as absolute numbers and percentages for categorical variables, while continuous variables were presented as mean and standard deviation and/or median and interquartile range (IQR). Data symmetry was analyzed using the Kolmogorov-Smirnov test.

j) Results

Fifty-two patients were assessed, but only 31 completed all the evaluations. Nine patients didn't have their total and fractional cholesterol measured, six patients didn't have their physical tests, and another seven patients only filled in the questionnaires. The average age of the participants was 42.5 years, with the majority being female, there were six hypertensive patients and two with systolic hypertension, four patients had high blood glucose levels, all patients recovered their heart rate and double product within the first five minutes of completing the test.

Table 1: Characterization of the Sample According to Anthropometry, Blood Cholesterol, Cardiovascular Data and Lifestyle, São Paulo, 2023

Variables	Mean and Standard Deviation
Age (years)	42,5±7,2
Women (%)	66,6
IMC (kg/m ²)	27,3±4,1
Lean Mass (KG)	49,8±9,3
Lean Mass (%)	68,5±6,9
Fat Mass (KG)	23,3±7,7
Fat Mass (%)	31,4±6,9
Basal metabolic rate (Kcal)	1519±300
Cholesterol Total (mg/dl)	192,4±40,3
HDL (mg/dl)	53,4±15,5
LDL (mg/dl)	138,9±41,4
Triglycerides (mg/dl)	125,7±59,9
Resting HR (bpm)	89,5±24,2
SBP (mmHg)	122,5±21,2
PAD (mmHg)	89,4±13,2
Blood sugar (mg/dl)	95±21,4
Double product at rest	6.890±4.235
Lifestyle	23,2±8,6

The cardiovascular risk measured by the Framingham score was found to be moderate or

intermediate for four people and high for three participants, the others were classified as low.

The final Framingham cardiovascular risk score was correlated with the total score of the individual lifestyle questionnaire (PEVI) and a good inverse

correlation was found, i.e. the higher the PEVI score, the better the lifestyle, the lower the Framingham score, i.e. the lower the cardiovascular risk Figure 1.

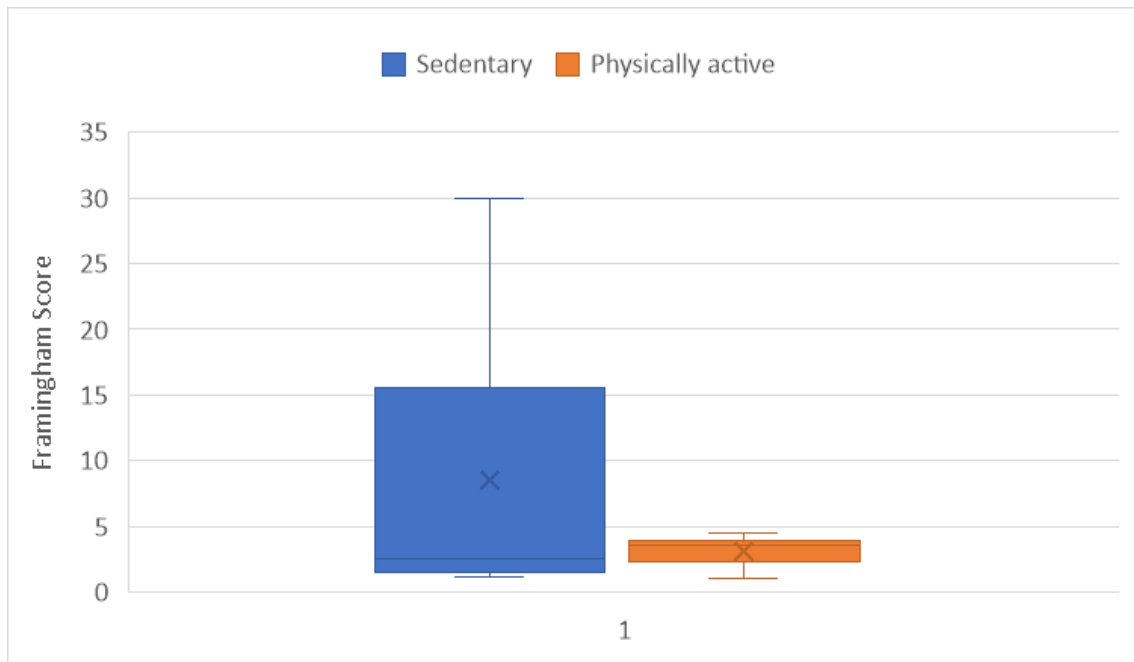


Figure 1: Correlation between Lifestyle and Cardiovascular Risk

The Framingham score was evaluated for the participants who reported living or not living in a stressful environment. It was found that cardiovascular

risk was significantly increased for those participants who reported living in a stressful environment ($p=0.03$, Figure 2).

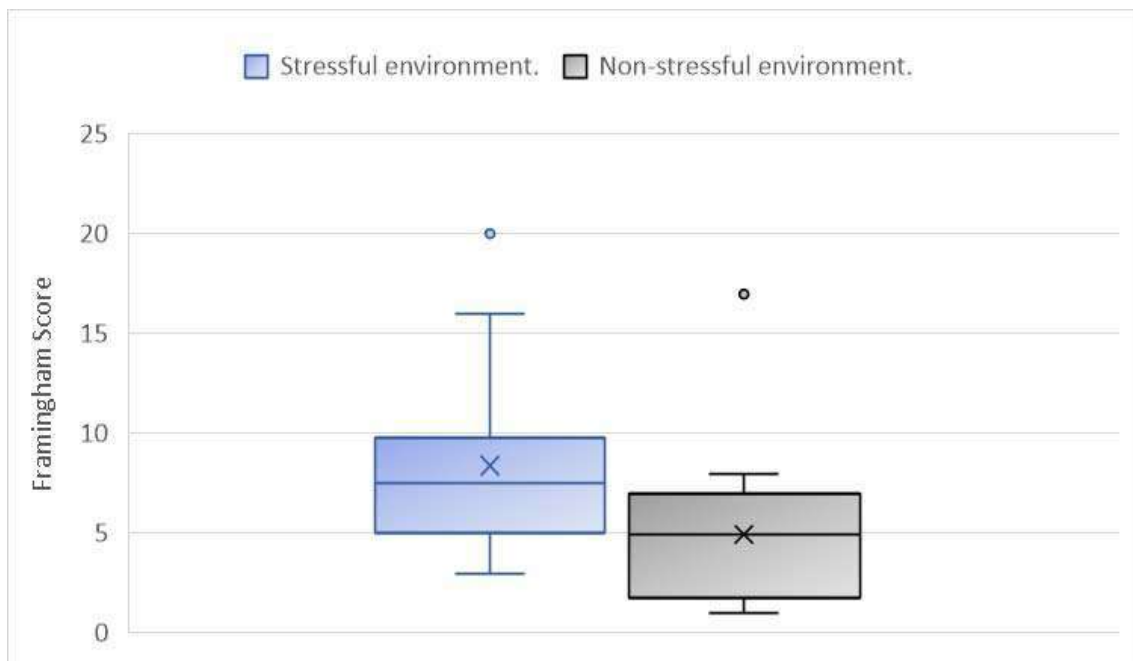


Figure 2: Cardiovascular Risk Assessment for Individuals who Reported Living in a Stressful Environment.

The Framingham score was evaluated for the groups of smokers and non-smokers. It was found that

the cardiovascular risk was significantly increased for smokers compared to non-smokers $p=0.03$, figure 3.

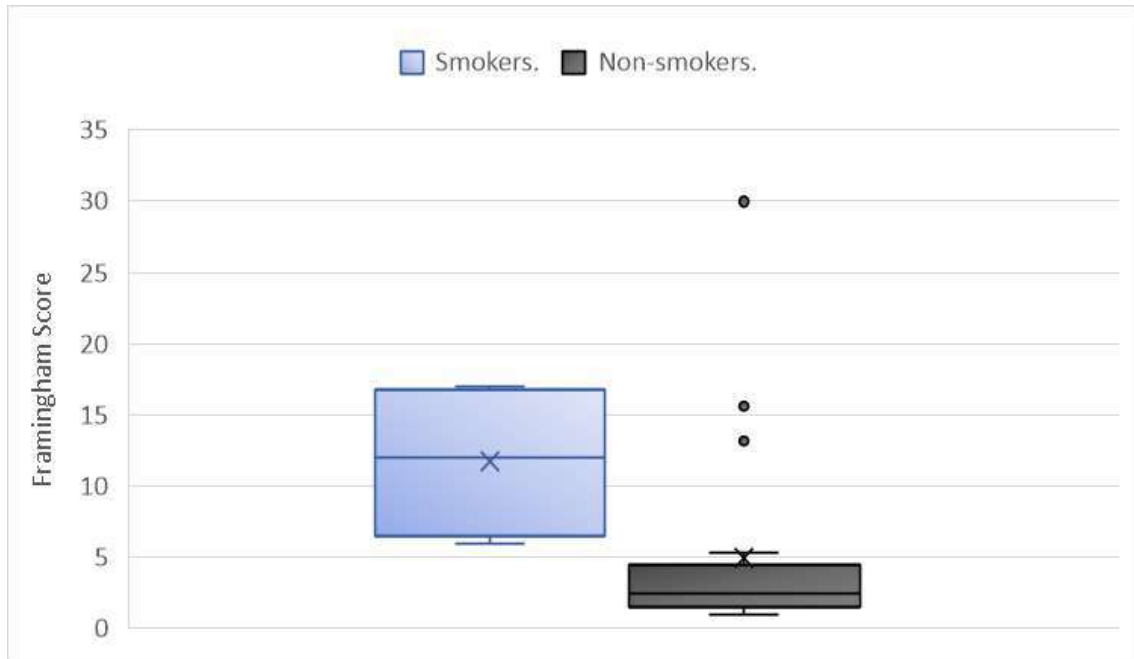


Figure 3: Cardiovascular Risk Assessment for Smokers and Non-smokers.

The Framingham score was evaluated for physically active and sedentary participants. It was found that the cardiovascular risk was significantly

increased for those participants who were sedentary compared to those who were physically active $p=0.003$, figure 4.

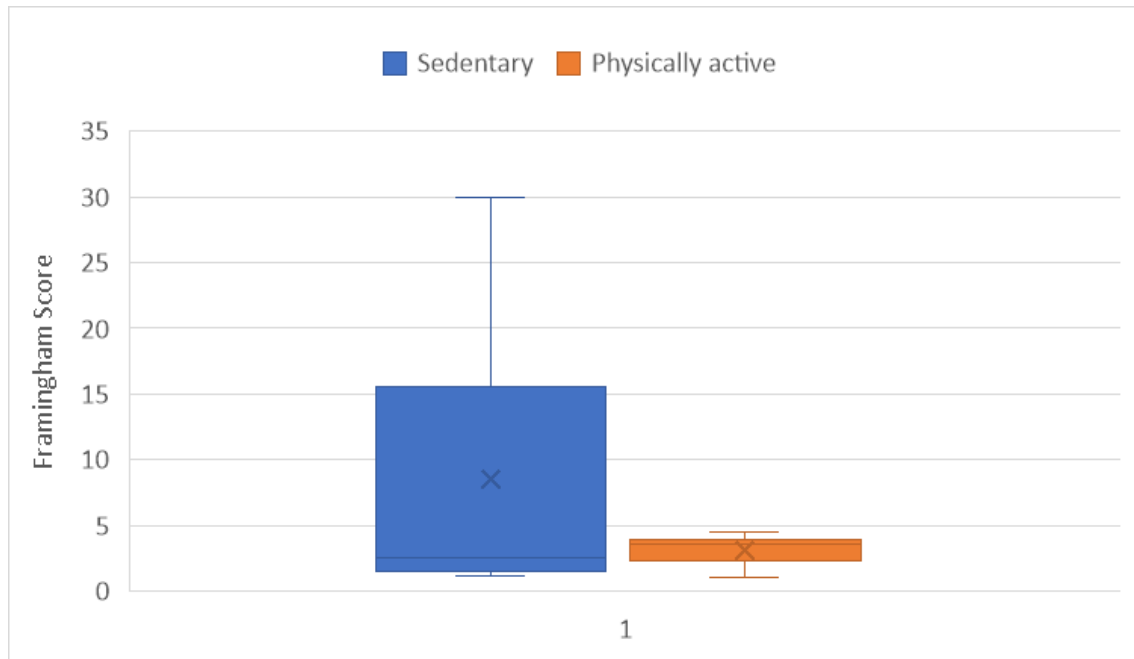


Figure 4: Cardiovascular Risk for Sedentary and Physically Active Individuals.

k) Discussion

The main results of this study show that four risk factors significantly affect health and predisposition to cardiovascular events: physical inactivity, stressful environments, smoking, and lifestyle. These factors do

not act separately and, when combined, exponentially increase the chances of cardiovascular events occurring.

The average age of those interviewed was 42.5 years, with 66.6% being female, as shown in Table 1.

Compared to the official data for the municipality of São Paulo, more than half of the entire population of São Paulo is female (51%) 20. According to Carneiro²¹, women seek primary health care more than men due to their concern, care, and awareness of their own health.

The average body mass index of the population studied was 27.3 kg/m², which is characteristic of overweight. These data corroborate the results found in VIGITEL 2021, with 57.2% of the Brazilian population being overweight²².

Based on the Framingham risk score, low cardiovascular risk was found for 77.4 of the participants, with 22.5 between intermediate and high risk. Similar results were observed in a study estimating the 10-year cardiovascular risk of the Brazilian population, which showed a greater predominance of low risk for both men and women²³. However, it is important to point out that there are several factors that can lead to CVD, so all of them must be taken into account.

According to our findings, the better the lifestyle of individuals, the lower their cardiovascular risk. It is important to note that lifestyle can act as a protective barrier against chronic degenerative diseases during ageing²⁴.

In the present study, the stressful environment was significant in increasing cardiovascular risk. A study of employees at a university hospital in Rio Grande do Sul found that 55.5% of participants had intermediate levels of occupational stress. These results reflect the relationship between work as the main factor influencing an individual in association with a stressful environment and with considerable emotional tension²⁵.

With regard to smoking, the CV risk was more than double. These results corroborate a multinational prospective cohort study which found a strong association between smoking and CV risk in 21 low-, middle- and high-income countries, and these data are even superior to the relationship between physical activity⁶.

In our findings, individuals who practiced physical activity and were labeled non-sedentary showed a reduction in cardiovascular risk compared to non-practitioners. Several studies have shown that a sedentary lifestyle is an important factor associated with worse cardiovascular health indicators, such as BMI, waist circumference and blood markers (glucose, lipid profile, lipoproteins and insulin)²⁶ (LEIVA et al., 2017). High levels of physical activity can help neutralize the adverse effects of body fat, among other common CVD risk factors.

In their retrospective cohort study, Pôrto et al.²⁴ observed a reduction in physical activity between youth and adulthood. Of the participants, 49.16% reported having practiced sports in their teens and twenties, but only 13.43% did so in adulthood, which is worrying for the continuity of health care in later life.

A study was carried out with 48 elderly hypertensive patients, using a 12-day protocol to practice physical activity. It was then observed that even in a group at risk of cardiovascular disease, it was possible to identify a reduction in this prominent risk, improving depressive symptoms, increasing quality of life, and reducing total cholesterol and LDL⁵.

The main limitations of this study include the external validity of the data, which does not allow the results to be generalized, the cross-sectional design, which makes it difficult to make inferences, and possible memory biases. However, in order to minimize potential sources of error, some precautions were adopted, such as the evaluation of a large and representative sample, stratified and random selection of participants, small proportions of losses and evaluation of the outcome based on the use of anthropometric, biochemical and hemodynamic information derived from measured information and not self-report, which could underestimate the prevalence of the risk factors evaluated.

Fortalizing the role of professional nurses in this paradigm, when one realizes the impact that health education for self-care has on patients with various diseases and the importance of drawing up a therapeutic plan that is coherent with cardiovascular risk assessment.

It is believed that this study can contribute to enlightening not only the general population, but also health professionals and the general population about cardiovascular risks.

III. CONCLUSION

Through this study, it was possible to conclude that severe and moderate cardiovascular risk was found for 22% of the sample. Smoking, a sedentary lifestyle and living in a stressful environment were the main cardiovascular risk factors found.

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The Impact of the Covid-19 Pandemic on the Mental Health of the Cruise Ship Student of Iloilo State College of Fisheries

By Sheila M. Picpican

Iloilo State College of Fisheries

Abstract- The purpose of the study is to assess the mental health impact of the COVID-19 pandemic of the Cruise Ship Students of Iloilo State College of Fisheries in terms of depression, anxiety, and stress. Scale (DASS – 21) will be adopted and administered. According to Lovibond, S.H. & Lovibond, P.F. (1995), DASS -21 is the most reliable tool when it comes to the assessment of the psychological distress of every individual. The study was conducted in Iloilo State College of Fisheries, Tiwi, Barotac Nuevo, Iloilo. The study was conducted last December 2020 to September 2021. Participants are the Bachelor of Science in Cruise Ship Management of Iloilo State College of Fisheries., were utilized as respondents of the study. The respondents were composed of One Hundred Seven-ten Bachelor of Science in Cruise Ship Management through Random sampling using frequency and percentage. A descriptive method and quantitative research design was employed in the study. Answered questionnaires were gathered, tabulated, and analyzed using appropriate statistical tool. The results of the study in anxiety the impact of the COVID-19 pandemic on the mental health of the Cruise Ship Students the result show that 30 student got extremely severe is equivalent to 63.3 percent and 11 got a severe equivalent to 36.7 percent.

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1. INTRODUCTION

When the news broke over social media and other news outlets about the deadly virus popularly known as COVID-19 (Huang and Zhao, 2020). As early as December 2019, the virus started infecting people living in Wuhan, China spreading like wildfire from country to country and it became a pandemic (Wang et al., 2020 & Gilbert et al., 2020). The World Health Organization (WHO) announced on March 11, 2020, to the public that the virus was already a global threat to health as it causes illness, flu-like symptoms, and worst die. As of October 26, 2020, there have been 42,745,212 confirmed cases of COVID-19, including 1,150,961 deaths (WHO, 2020).

Philippine President Rodrigo Roa Duterte, as early as March 9, 2020, has already briefed the Inter-Agency Task Force (IATF) on COVID-19 (PCOO, 2020). The IATF together with the Department of Health (DOH) formed composite teams to ensure enhanced contact-tracing and containment measures in all parts of the country in this time of COVID-19 pandemic (Joint Resolution Nos. 11 and 12 (s. 2020).

According to the Proclamation Nos. 929 and 922 (2020) and Republic Act 11332, effective March 17, 2020, classes and all school activities in all levels shall be suspended, mass gatherings shall be prohibited, a strict home quarantine shall be observed in all household, work from home arrangement shall be implemented, mass public transport facilities shall be suspended, and travel shall be restricted.

Despite the government efforts to contain the spread of COVID-19, the DOH recorded 370, 028 total cases, 35,015 active cases, and 6, 977 died as of October 25, 2020 (DOH, 2020). Still, many people ignored the government call to stay home, maintain social distancing, and avoid going to public places.

People were forced to stay home for their own safety and to avoid the spread and infection of the COVID-19 in public places. Adequate knowledge and a positive attitude on responding to the COVID-19 should be observed in this time of pandemic (Galicia, 2020). But prolonged confinement at home has a psychological effect on people in all socioeconomic aspects (Brooks et al., 2020). The latest studies revealed that the global pandemic had a substantial impact on the psychological well-being of every individual (Sim and Chua, 2004 & Wu et al., 2009).

The shift of traditional classroom setting to online instructions contributes to the emotional burden on the part of the students especially those who cannot afford to buy gadgets and other electronic devices, poor connectivity, and access to the computer needed for online classes (Khan and Abdou, 2020).

Thus, it is important to assess the mental health status of cruise ship students of the Iloilo State College of Fisheries during the COVID-19 pandemic to make a drastic intervention on the part of the government through the local government unit and higher education institution.

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a) *Objectives*

The objective of the study is to assess the mental health impact of the COVID-19 pandemic of the Cruise Ship Students of Iloilo State College of Fisheries in terms of depression, anxiety, and stress.

b) *Hypothesis*

1. There is a significant difference in the mental health impact of the COVID-19 pandemic of the Cruise Ship Students of Iloilo State College of Fisheries in terms of depression, anxiety, and stress.

II. THEORETICAL FRAMEWORK

Awareness is the first step towards effective implementation of any policy (Atulomah et al. 2010). Therefore, for effective implementation of the 2010 Manila amendments, it is pertinent to evaluate the level of awareness of the amendments in major Maritime Training Institutions. The level of awareness could necessitate the training and certification of seafarers to operate technologically advanced ship with high level of professionalism and global best practices. Hence, measuring awareness or knowledge of a given concept would create a platform for optimising responses based on collective knowledge of the concept rather than guessing or presuming that, a community or an individual is well versed with the provisions of the concept. This is similar to the provisions of the STCW convention and code, the collective knowledge of the STCW convention and code by stakeholders in Maritime Training Institutions could be away of enhancing its implementation.

Give the convention full and complete effect. These standards, if effectively implemented should provide the needed level of competence and professionalism required in achieving safer shipping environments.

The STCW (commonly termed STCW-78) was adopted by International Maritime Organisation (IMO) in 1978 and came into force in 1984, to ensure that, from the point of view of safety of life and property at sea and the protection of the marine environment, seafarers on board ships are qualified and fit for their duties. Okonna (2011) posited that, one of the major weaknesses identified in the STCW-78 convention was lack of quality standards.

Therefore, the STCW-78 could not achieve its objectives. Rojas (2002) reported that IMO members decided to amend the STCW 78 in the early 1990s, and the amended convention is now referred to as STCW-95. The focus of the STCW- 95 was on developing practical skills and competence underpinned by theoretical knowledge.

According to Young (2002), 133 countries and shipping registries (representing over 78% of the world's merchant fleet) were parties to the STCW-78 as amended in 1995.

The STCW-95 amendments came into force on the 1 February 1997, with a transition period that lated upto 1st February, 2002. The STCW- 95 was not without flaws, especially in relation to attention to the marine environment. For instance, Yoon (2011) identified lack of effective implementation and enforcement of treaty obligations as one of the challenges in the protection of the marine environment. An empirical study conducted in the coastal environment shows that, the extinction of marine life in the coastal environment of the Nigerian Niger Delta was largely due to ship borne pollutants (Evans, Evans, and John 2014). In order to address emerging issues as well as issues anticipated to emerge in the foreseeable future, amendments to the STCW- 95 were adopted by the IMO at a diplomatic conference in Manila in June, 2010. The amendments came into force on 1st January, 2012 (Ghosh et al. 2014; Berlingieri 2015). Also, the 1978 STCW codes which entered into force on 28th April, 1984 had undergone amendments thereto have been adopted in 1991, 1994, 1995, 1997, 1998, 2004, 2006 and 2010 (Anish 2010; IMO 2011).

This research is anchored on Stress Theory by K. Finsterbusch (1982), on Learned Helplessness Theory by Seligman, M. E. (1974), and on Psychoanalytic Theory by S. Freud (2003). According to the Stress Theory (K. Finsterbusch, 1982), it describes the process whereby environmental events or forces threaten an individual's well-being and the individual response. The threatening event is the stressor and the response is coping behavior which, if successful, leads to adaptation and/or adjustment and, if unsuccessful, leads to additional coping efforts. If the stress condition continues for a long enough time without relief it can lead to physical or mental disorders. On Learned Helplessness Theory, M.E Seligman (1974) explains depression whereby the individual gives up trying to influence their environment because they have learned that they are helpless as a consequence of having no control over what happens to them. On the other hand, according to the Psychoanalytic Theory by S. Freud (2003), anxiety serves as a signal when 'danger situations' tend to gravitate around the threats that arise from the prospect of being helpless and at the mercy of others: threats of losing a loved one, of losing another's love, or of being attacked. Freud claimed, these threats are manifestations of a more fundamental threat, the threat of castration.

III. CONCEPTUAL FRAMEWORK

The study's paradigm shows the independent variable, BSCSM 111- Alpha, Bravo, Charlie, the intervening variable, Assessment the part of the ship, navigational equipment and lifesaving, and Training Plan.

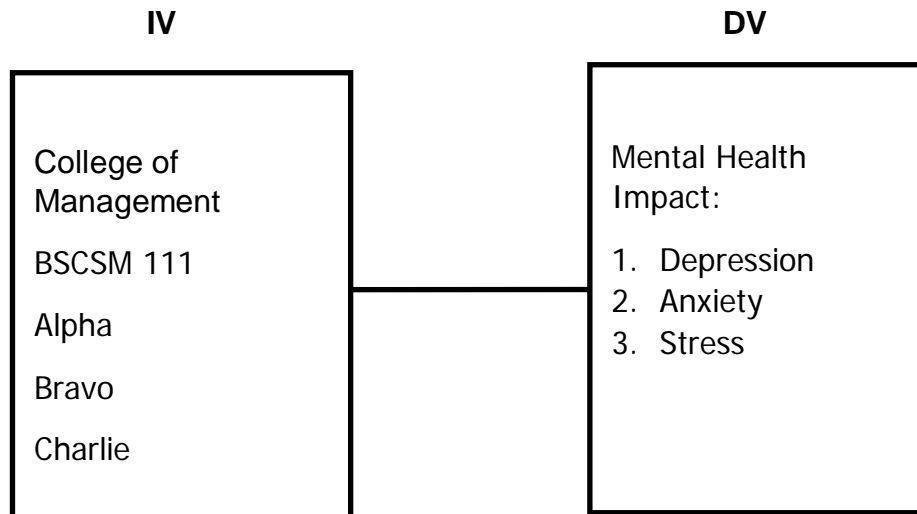


Figure 1: Paradigm of the Study

IV. MATERIALS AND METHODS

a) Research Design

The descriptive method of research will be employed in this investigation since the data will be collected to answer questions concerning the impact of the COVID-19 on the mental health of Cruise Ship students of Iloilo State College of Fisheries. Descriptive research, according to Gay, et al., involves collecting data to answer questions concerning the impact of the COVID-19 on the mental health of Cruise Ship students of Iloilo State College of Fisheries. In descriptive research, Gay, et al. add, determines, and reports the way things are (Gay, Mills, & Airasian, 2018).

Locale/Study Site

Iloilo State College of Fisheries, Tiwi, Barotac Nuevo, Iloilo.

Respondents

The respondent of this study is 117 student of Bachelor of Science in Cruise Management 111- Alpha, Bravo and Charlie of College of Management, Iloilo State College of Fisheries. Barotac Nuevo Iloilo.

Sampling Techniques

Random sampling using frequency and percentage.

Research Instrument

To assess the mental health impact of the COVID-19 pandemic of College of Management of Cruise Ship Student in terms of the level of depression, anxiety, and stress, the Depression Anxiety and Stress Scale (DASS – 21) will be adopted and administered. According to Lovibond, S.H. & Lovibond, P.F. (1995), DASS -21 is the most reliable tool when it comes to the assessment of the psychological distress of every individual.

b) Data Gathering Procedure

The researcher will be requesting permission to administer the research instrument from the office of the Dean of the College of Management at the Iloilo State College of Fisheries. Upon approval of the permit, meticulous oral instructions both in English and Tagalog will be given to make certain that the participants accomplished the questionnaires properly. Since the Iloilo State College of Fisheries declared no face-to-face classes starting March 2020 up to now, the questionnaires will be created using google forms and it will be distributed to the respondents via social media such as Facebook, e-mail, and other online platforms.

c) Data Analysis

Data gathered will be recorded and subject to statistical analysis. The accomplished questionnaires will be scored and subjected to appropriate computer-processed statistics using the Statistical Package for the Social Sciences (SPSS) software version 23. Percentage and frequency will be the descriptive statistical tools employed in the study.

V. RESULTS AND DISCUSSIONS

a) Findings with Analysis and Interpretation

The study aimed to assess the mental health impact of the COVID-19 pandemic of the Cruise Ship Students of Iloilo State College of Fisheries in terms of depression, anxiety, and stress.

b) Adopted Questionnaires

DASS21

Name:

Date:

Please read each statement and circle a number 0, 1, 2 or 3 which indicates how much the statement applied to you *over the past week*. There are no right or wrong answers. Do not spend too much time on any statement.

The rating scale is as follows:

1. Did not apply to me at all
2. Applied to me to some degree, or some of the time
3. Applied to me to a considerable degree or a good part of time
4. Applied to me very much or most of the time

1	(s)	I found it hard to wind down	0	1	2	3
2	(a)	I was aware of dryness of my mouth	0	1	2	3
3	(d)	I couldn't seem to experience any positive feeling at all	0	1	2	3
4	(a)	I experienced breathing difficulty (e.g. excessively rapid breathing, breathlessness in the absence of physical exertion)				
5	(d)	I found it difficult to work up the initiative to do things	0	1	2	3
6	(s)	I tended to over-react to situations	0	1	2	3
7	(a)	I experienced trembling (e.g. in the hands)	0	1	2	3
8	(s)	I felt that I was using a lot of nervous energy	0	1	2	3
9	(a)	I was worried about situations in which I might panic and make a fool				
10	(d)	I felt that I had nothing to look forward to	0	1	2	3
11	(s)	I found myself getting agitated	0	1	2	3
12	(s)	I found it difficult to relax	0	1	2	3
13	(d)	I felt down-hearted and blue	0	1	2	3
14	(s)	I was intolerant of anything that kept me from getting on with what I was doing	0	1	2	3
15	(a)	I felt I was close to panic	0	1	2	3
16	(d)	I was unable to become enthusiastic about anything	0	1	2	3
17	(d)	I felt I wasn't worth much as a person	0	1	2	3
18	(s)	I felt that I was rather touchy	0	1	2	3
19	(a)	I was aware of the action of my heart in the absence of physical exertion (e.g. sense of heart rate increase, heart missing a beat)	0	1	2	3
20	(a)	I felt scared without any good reason	0	1	2	3
21	(d)	I felt that life was meaningless	0	1	2	3

Table 1: NB Scores on the DASS-21 will need to be multiplied by 2 to calculate the final score.

	Depression	Anxiety	Stress
Normal	0-9	0-7	0-14
Mild	10-13	8-9	15-18
Moderate	14-20	10-14	19-25
Severe	21-27	15-19	26-33
Extremely Severe	28+	20+	34+

Table 2: Statistics

	Stress_Rec	Anxiety_Rec	Depression_Rec
Valid	30	30	30
Missing	0	0	0

Table 3: Stress

		Percent	Valid Percent	Cumulative Percent
Valid	Severe	11	36.7	36.7
	Extremely Severe	19	63.3	100.0
	Total	30	100.0	

Table 4: Anxiety

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Extremely Severe	30	100.0	100.0	100.0

Table 5: Depression

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Moderate	3	10.0	10.0
	Severe	22	73.3	83.3
	Extremely Severe	5	16.7	100.0
	Total	30	100.0	

VI. CONCLUSIONS

- In table 3 anxiety the impact of the COVID-19 pandemic on the mental health of the Cruise Ship Students the result show that 30 student got extremely severe is equivalent to 63.3 percent and 11 got a severe equivalent to 36.7 percent.
- In table 4 stress the impact of the COVID-19 pandemic on the mental health of the Cruise Ship Students the result show that 30 student got extremely severe that equivalent to 100 percent.
- In table 5 depression the impact of the COVID-19 pandemic on the mental health of the Cruise Ship Students the result show that 5 student got extremely severe that equivalent to 16.7 percent, 22 student got severe that equivalent to 73.3 percent and 3 student got moderate that equivalent to 10 percent.

VII. RECOMMENDATIONS

The result of the research study, the following recommendations were drawn:

- The Crew Ship Student must always at the supervision of their parents.
- In terms of online classes the teacher must ask the side of the student regarding what are the problems on their class.
- Always listen about the part of the students to give them free from stress, anxiety and depression this time of pandemic.

- Encourage student that always think positive for their lives.

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Analysis of the Role of Student-Based Political Programmes in University-Based Radio Stations in Kenya

By Gabriel Mshindo Bombo, Dr. Emukule Emojong & Dr. Nancy Masasabi

Maseno University

Abstract- University radio stations that air student-based political programmes act as an essential medium in students' politics, enhancing media and democracy in universities. This paper examines the role of student-based political programmes in MMUST FM, a university radio station. The study is guided by the democratic participant media theory by McQuail (1987), which emphasizes access to localized media by local users. The study utilized a cross-sectional mixed research design, which enabled the survey to collect quantitative and qualitative data from a diverse group of individuals simultaneously. The study aimed at a population of 10311 undergraduates from the main campus using a quantitative approach, 31 student leaders, and three political programme producers using a qualitative approach. The study used systematic random, stratified, and purposive sampling to select respondents. First, quantitative data was collected via questionnaires and presented using tables and graphs. In contrast, qualitative data was collected through focus group discussions targeting 31 student leaders and three in-depth interviews targeting radio political content producers at the radio station. Qualitative data is presented using narration and quotes.

Keywords: *political advertising, political dialogue, political opinion, political voice, student-based political programmes, university-based radio stations.*

GJHSS-H Classification: LCC: HE8689



ANALYSIS OF THE ROLE OF STUDENT-BASED POLITICAL PROGRAMMES IN UNIVERSITY-BASED RADIO STATIONS IN KENYA

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Analysis of the Role of Student-Based Political Programmes in University-Based Radio Stations in Kenya

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Abstract- University radio stations that air student-based political programmes act as an essential medium in students' politics, enhancing media and democracy in universities. This paper examines the role of student-based political programmes in MMUST FM, a university radio station. The study is guided by the democratic participant media theory by McQuail (1987), which emphasizes access to localized media by local users. The study utilized a cross-sectional mixed research design, which enabled the survey to collect quantitative and qualitative data from a diverse group of individuals simultaneously. The study aimed at a population of 10311 undergraduates from the main campus using a quantitative approach, 31 student leaders, and three political programme producers using a qualitative approach. The study used systematic random, stratified, and purposive sampling to select respondents. First, quantitative data was collected via questionnaires and presented using tables and graphs. In contrast, qualitative data was collected through focus group discussions targeting 31 student leaders and three in-depth interviews targeting radio political content producers at the radio station. Qualitative data is presented using narration and quotes. Descriptive and inferential statistics were used to analyze quantitative data, and qualitative data was analyzed thematically based on emerging themes informed by research objectives. The study findings indicate that student-based political programmes have provided the student community with a robust political platform on campus. However, MMUST FM's news editorial policy must emphasize news stories affecting the student community. The study recommends that MMUST FM review its editorial policy to cover political news affecting the student community.

Keywords: *political advertising, political dialogue, political opinion, political voice, student-based political programmes, university-based radio stations.*

I. INTRODUCTION

According to Myers (2008), radio is Africa's most effective medium for political communication due to its broad reach and wide audience. Radio is an effective political communication tool that mobilizes large audiences, even those in marginalized and secluded communities (Muswede, 2009). The statements above highlight the potential of radio in

politics, including on university campuses. In Kenya, the first university radio station in a public university that broadcasts student-based political programmes was MMUST FM, licensed to operate at Masinde Muliro University of Science and Technology-Kakamega in March 2006, Communications Authority, CA (2022). MMUST FM's editorial policy mandates that the radio station provide unlimited coverage on matters concerning the student community, including students' political activities on campus. Given this, it is essential to establish how much radio stations function in campus politics, just like in any other democracy where radio has proven to be a critical medium in sustaining democracy by analyzing the role of student-based political programmes.

In South Africa, university-based radio stations are mandated by law to serve institutional communities like organizations, universities, and colleges through community-oriented programmes. They were critical during the anti-apartheid campaigns, Osunkule, (2009). This phenomenon enables students to use radio, such as MMUST FM, to discuss issues through their political programmes relevant to the campus community by giving them room to participate in political dialogue. In light of this, a study examining student-based political programmes' role in facilitating political dialogue on campus would suffice.

When we trace the establishment of this broadcast medium, the Canadian Radio-Television and Telecommunications Commission (CRTC) (2006) posits that since its inception, university-based radio stations have played a critical role in learning, research, and entertainment in universities. In Canada, where university-based broadcasting traces its early roots, the CRTC licenses and regulates university radio stations. The CRTC distinguishes two types of university radio stations: instructional (licensed for training professional broadcasters) and community-based campus radio (programming mainly provided by volunteers who are members of the university community). University radio stations in Canada have become an effective medium in promoting campus student culture. CRTC, through its regulatory broadcasting policy, places the minimum range for purely Canadian content at 35%; this means the stations must air at least 35% of Canadian content in their daily programming, from music to talk shows.

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Given this, finding out how other university-based radio stations, such as MMUST FM, are coping with airing student-based political programmes and local political content on campus is essential.

On February 2nd, 2004, Anna University in Chennai, India, unveiled the country's first university-based radio station, Anna FM, United Nations Development Programme (UNDP) (2004). The station is a community-based university radio station that broadcasts community-based programmes to sensitize the public on their social, economic, and political rights. One of the political programmes that gained popularity at the station was titled *Panchayat Vani*, which translates to *The People's Voice*. This programme allowed students and the local community to participate in its production and debate on regional issues. McQuail (1987) argues that when small-scale media enables local community members to use it for their gain through participation, that is community media. Given this, a study that examines how university-based radio stations' political programmes allow the student community to debate local issues that affect them at the university level is critical.

Although young, political programmes run by students are becoming increasingly popular on university campuses as a legitimate space for political engagement. This study examines how university-based radio stations and student-based political programmes provide opportunities for students to discuss political issues, offering them a voice and promoting diverse political views. The study evaluates how these programmes create a platform for political dialogue, where students can bring their local concerns to the attention of their leaders and the administration.

II. LITERATURE SURVEY

In a qualitative survey conducted in Zimbabwe, Mwesige (2009) avers that the introduction of private radio stations in Sub-Saharan Africa during the 1990s considerably improved the ability of radio programmes to serve as a political voice for the masses. The rise of private radio broadcasting brought about new programme formats that actively engaged the public and created a platform for members of the public to be heard. In his study, Mwesige (2009) emphasizes this argument by stating that private radio stations allow greater public participation and engagement in political discourse:

'In addition, and perhaps more importantly, the public has an opportunity to call in and express their concerns and views; challenge official power; let off steam; listen and learn about political developments and the opinions of other citizens; or simply amuse themselves.' (Mwesige, 2009, pp. 217-218).

Considering Mwesige's findings, it is not inherent that the emergence of university radio stations and political talk show programmes has given the

student community a political voice that only existed before. To assume that the existence of university radio stations with political talk-show programmes in universities has led to a more politically vocal university community could be wrong. Gamson (2001) demonstrated how radio programmes are public forums that support the audience's voices and views in a thriving political environment; for instance, the scholar concluded that radio programmes appropriately handle political discussions and create spaces where the masses are heard.

In a quantitative survey conducted in the USA targeting the American electorate, Tucker (2013) argues that community radio facilitates democratic participation. It provides a valuable platform for critical public engagement and discussion. Despite the arguments above, studies have yet to show how university-based radio political programmes enable the student community to express their political views on campus. From this basis, this study needs to determine whether the establishment and presence of university-based radio stations such as MMUST FM and political talk-show programmes have effectively enabled students to use political programmes to express their political views on campus.

In a quantitative survey, Tucker (2013) argues that radio has become a powerful medium for political discussions because it can sustain political dialogue. Radio talk shows, in particular, have allowed radio stations to engage the public in political debates. University-based radio programmes have the potential to be excellent facilitators of political debates by addressing topics that resonate with the student community. According to Tucker, radio facilitates dialogue among the masses. Ngugi and Kinyua (2014) argue that community radio platforms remain relevant and robust by creating strong democratic communities through dialogue.

Although there are studies supporting political programmes as a means of facilitating political dialogue, the underlying myth surrounding student political programmes in university-based radio stations needs to be demystified through conscious and well-intended academic research. It is inaccurate to assume that these programmes allow student communities to engage with their leaders and vice versa. Therefore, there is need is to examine the role of university based radio stations student-based political programmes in facilitating political dialogue on university campuses.

In a survey conducted in Sub-Saharan Africa, Myers (2008) established that radio is Africa's primary source of news and information, and its importance as a news source is undisputed. When analyzing the concept of community radio programmes in Kenya, Ngugi and Kinyua (2014) argue that grassroots radio stations in Kenya essentially prioritize local interests in their programmes. The radio stations disseminate local

content, especially news. Despite this phenomenon, as illustrated above, the role of university-based radio stations in disseminating local political news to the student community still needs to be discovered. Given this scenario, this study examined the role of student-based political programmes in covering local political content on university-based radio stations.

According to a scholarly analysis by McQuail (1987), community radio can serve as a platform for public discussions, allowing a community to express their diverse opinions. This means that political programmes on these stations should aim to accommodate a range of political views in a democratic setting. However, it is also important to note that student-based political programmes on campus radio stations tend to have a variety of political opinions. In similar scholarly analyses, Ross and Rolt (2005) also suggest that community radio can allow diverse community opinions to be expressed and tolerated. When student-based political programmes facilitate diverse political opinions in universities, they open up a platform of robust political engagement through participation.

This study is guided by McQuail's Democratic Participant Media Theory (1987). According to this theory, individual citizens and minority groups have a right to access to media and the right to be served by the media, media should exist primarily for their audiences, local communities should have their own media to advocate for their needs, local users should have access to localized media which limits the influence of state-controlled and commercial media systems that do not encourage community-based political participation in the media. The theory is against the commercialization and monopolization of private media entities and opposes the bureaucratization of media organizations. It emphasizes communitarianism and encourages citizens to contribute to community matters. The theory upholds that communication can work at the grassroots level. The guiding principles for this study are access to local media by local users, community engagement, citizen participation in community matters, and the idea that small communities should run mass communication at the grassroots level. Baran and Davis (2012) further argue that democratic participant theory advocates media support for cultural pluralism at grassroots level. They argue that media is stimulated to empower local communities at the grass-root level.

The tenet of mass communication being managed at a grassroots level by small communities supports this study. It proposes that local programmes like the student-based political programmes on university based radio stations best tackle local issues. Therefore, these programmes can effectively communicate political content and news relevant to the student community. Student political programmes can

enable them to engage in dialogue and interact through radio.

Using the theoretical and conceptual arguments above, it is essential to examine how student-based political programmes on campus radio have opened their airwaves for deliberation of diverse political opinions on university campuses.

III. PROBLEM STATEMENT

University-based radio stations exist in various universities in Kenya and are helpful in many ways. Recent studies have proven how these radio stations contribute to progress in universities through training, education, and providing information and entertainment to the student community in universities. The reality, however, is university radio stations that broadcast student-based political programmes are acting as critical mediums in students' politics, just like in any democratic society where radio is a channel between the political elite and the masses and a platform for public discourse. With increased political activity in electing representatives of the students' governing councils and the existence of university-based radio stations like MMUST FM broadcasting student-based political programmes within the university environment, it is critical to examine how the student community at MMUST leverages the existence of MMUST FM as a political space. Despite evidence on how critical university radio has become in institutional communities, there is a lack of proof explaining how university radio programmes functions as a political space in the university setting. Given this, it therefore justified to analyse the role of student-based political programmes in university based radio station.

IV. RESEARCH METHODOLOGY

The study used a cross-sectional mixed research design to simultaneously collect data from diverse individuals using quantitative and qualitative approaches. According to Kabir (2016), this design was suitable as it enabled the study to gather data from a large pool of subjects (undergraduate students) and compare differences between groups (student leaders and political programme producers). The cross-sectional design guided the study in using a survey research design for the quantitative approach and a phenomenological research design for the qualitative approach. The survey design enabled the study to provide a numeric description of the population's trends, attitudes, or opinions. On the other hand, the phenomenological research design enabled the study to describe the experiences of individuals (student leaders and political programme producers) about the phenomenon as described by participants (Giorgi, 2009; Moustakas, 1994). The phenomenological design further allowed the study to use multiple data collection

methods (such as focus group discussions and key informant interviews) to explore the role of MMUST FM's student-based political programmes from an in-depth perspective.

The study was guided by the design during data collection. First, quantitative data was collected, followed by qualitative data. The cross-sectional approach strengthened the study by minimizing weaknesses related to dependence on one method.

This study utilized a cross-sectional research design to ensure the accuracy and consistency of the data. The design also facilitated the data analysis through descriptive and inferential statistics guided by the research question and objective, drawing inferences about how the quantitative results can simultaneously explain the qualitative results from various individuals.

This study selected its area from a pool of public universities in Kenya that run radio stations. The reason for choosing public universities was due to the large number of students in these institutions. For example, (Daystar University, 2022) has a student population of 2088 at its main campus, (St. Paul's University, 2022) has 5900 students at its main campus, and (United States International University 2022) has 7900 students at its main campus in Kenya. The decision to settle on a public university is supported by Kombo and Tromp (2014), who argue that a large study population yields more credible results than a small population.

According to the Communications Authority of Kenya (CA) report (2022), several radio stations have been licensed to broadcast in public universities in Kenya. These stations include Egerton Radio at Egerton University, which was established in June 2007; Equator FM at Maseno University, founded in June 2007; KU FM at Kenyatta University main campus, which was founded in 2009; MU Radio at Moi University, licensed in June 2009; MMUK Radio at Multimedia University-Main Campus founded in June 2013; Dedan Kimathi University FM at the Dedan Kimathi University of Technology established in June 2017; Laikipia University Radio at Laikipia University established in May 2022; UNC FM at the University of Nairobi established in June 2022; Chuka University Radio at Chuka University licensed in 2022; KSU FM at Kisii University licensed in 2022; MKsU FM at Machakos University licensed in May 2022 and MMUST FM in MMUST-Main Campus established in June 2006.

From this pool, the study selected MMUST FM for the following reasons: first, the radio station is located in the Western region of Kenya, which has the highest level of radio listenership in the country, at 79%; the region where the station is located has the highest percentage of listeners who listen to radio for more than three hours in a day, which is 44%; furthermore 93% of radio listeners in the region access radio via FM radio receivers a module that MMUST FM solely broadcasts

in, this is according to Media Council of Kenya State of the Media Survey Report (2021). These traits were critical for the study because the student community resides in this region when on campus, and the general population's radio consumer behaviour could have influenced theirs. Second, the radio station started broadcasting in March 2006, making it the first university radio station to be licensed in a public university in Kenya by the, CA (2022). It implies that MMUST is the public university with the longest time with a campus-based radio station compared to other public universities. Third, from their programme schedule, the university radio station broadcasts student-based political programmes from the university's main campus; this study zeroed in on university-based politics as its main subject. Fourth, the study area has an undergraduate student population of 10311, served by the central campus radio station, according to ((Masinde Muliro University of Science and Technology, 2022). The radio station has producers in charge of student-based political programmes and an active students' governing council that can access the radio station for political purposes. Study respondents were selected from this university.

A population is a segment of people, entities, or objects from which samples are taken for measurement, such as a population of students (Kombo & Tromp, 2014).

According to the MMUST University website (Masinde Muliro University of Science and Technology, 2022) and the electronic nominal database from the office of the Registrar of Academic Affairs (2022), the university has a student population of 16,907 with 10,311 taking undergraduate programmes at the main campus in 11 academic schools. The sampling frame for the study was drawn from the 10,311 undergraduate main campus students. The study targeted only the main campus population because main campus students can access the radio station's FM signal, which means they can easily access student political programmes on MMUST FM. This population constitutes the electorate during students' elections and the public when it comes to political governance.

According to Masinde Muliro University Students' Organization-MMUSO database (2022), the university has thirty-one (31) student leaders. The study targeted student leaders because they can access the radio station for political purposes. This population constitutes the political candidates during students' elections and political leaders during political governance.

The MMUST FM staff database (2022) indicates that the radio station has five programme producers and one technical operator—two of the five produce student political programmes. The study targeted the two producers in charge of these programmes.

In the quantitative approach, the study used systematic random sampling and stratified sampling to select participants. These methods ensured that each member of the population had an equal chance of participating in the study (Kombo & Tromp, 2014). To pick respondents from the student community, the study obtained a list of all students from eleven academic schools on the Main Campus and used these methods to select participants. The study systematically sampled respondents from each academic school (stratum) using a sequence of numbers from a random numbers table. The respondents came from this sampling frame.

In the qualitative approach, the study used two purposive sampling techniques to select participants. First, homogeneous sampling was used to select all the thirty-one (31) student leaders. Homogeneous sampling allowed the study to analyze student leaders since they share similar character traits regarding their occupation at the university. This group of participants consisted of the political leadership at the university. The study used expert sampling to select three radio producers in charge of student-based political programmes on MMUST FM. Expert sampling enabled the study to select individuals with a high level of knowledge and a demonstrable skill set and experience in producing and broadcasting student-based political programmes.

The study aimed to determine a sample of the target population of undergraduate students with access to student-based political programmes and

study at the main campus. According MMUST University Website (Masinde Muliro University to the of Science and Technology, 2022) and the electronic nominal database from the office of the Registrar of Academic Affairs (2022), MMUST has 16,907 students, with 10,311 pursuing undergraduate programmes at the main campus in 11 academic schools. The study used the formula for determining the sample size for a finite population, as developed by Krejcie & Morgan (1970). Since the population of undergraduate students who have access to the radio station's student political programmes at the main campus was $N=10,311$, the formula yielded a sample size of 370, as explained in the formula below:

Since the population size (N) is 10311 then we have,

$$s = \frac{3.841 \times 10311 \times 0.5(1 - 0.5)}{0.05^2(10311 - 1) + 3.841 \times 0.5(1 - 0.5)}$$

$$s = \frac{9901.13775}{25.775 + 0.96025}$$

$$s = \frac{9901.13775}{26.73525}$$

$$s = 370.3402$$

$$s = 370$$

Table 1: Sample Size Distribution of Respondents per Academic School

No.	Name of School	Total Number of Undergraduates=N	Sample Size=N
1.	School of Education	3333	120
2.	School of Business and economics	2476	89
3.	School of Arts and Social Sciences	929	33
4.	School of Nursing, Midwifery & Paramedics	772	28
5.	School of Computing and Informatics	532	19
6.	School of Disaster Management and Humanitarian Assistance	507	18
7.	School of Agriculture and Veterinary Sciences and Technology	473	17
8.	School of Engineering and Built Environment	434	16
9.	School of Public Health, Biomedical Sciences & Technology	422	15
10.	School of Natural Sciences	407	14
11.	School of Medicine	26	1
Total		10311	370

Source: Office of the Registrar Academic Affairs, Masinde Muliro University of Science and Technology, 2022

The study utilized a quantitative approach and sampled 370 undergraduate students proportionately distributed across the 11 academic schools at the university's main campus. The distribution of the students is shown in the calculation and table 1 above.

Concerning the qualitative approach, the study purposively picked all thirty-one (31) student leaders and two political programme producers at the radio station. This group of participants constituted the political leadership at the university and radio personnel

in charge of producing student-based political programmes at the radio station. The study targeted (370+31+2=403) four hundred and three (403) respondents.

This research used questionnaires, focus group discussions, and key informant interview guides to collect primary data from the participants. The questionnaires collected quantitative data while focus group discussions and key informant interviews collected qualitative data.

First, quantitative data was collected via questionnaires, and qualitative data was collected through focus group discussions targeting 31 student leaders. Three in-depth interviews were conducted, targeting radio political content producers at the radio station. Descriptive and inferential statistics were used to analyze quantitative data, and qualitative data was analyzed thematically based on emerging themes informed by research. This study presented quantitative data in tables and graphs, while qualitative data was presented in text to address the study's qualitative gap.

Data validity is the degree to which a test measures that which it is supposed to measure Frechtling, (2002). Mugenda and Mugenda (2008) define validity as the degree to which the research results obtained from data analysis represent the phenomenon under study. According to Table 2 below, Kaiser –Meyer -Olkin's measure of sampling adequacy indicated a KMO value of greater than 0.5, meaning that the sample size was good enough to treat the sampling data as normally distributed. A KMO value above 0.5 is considered high enough to consider the usually distributed data. Bartlett's test sphericity tested the null hypothesis: "item to-item correlation matrix based on the responses received from respondents for all the effective variables was an identity matrix". Bartlett's test was evaluated through a chi-square test for all the variables, as shown in Table 2. It was all significant at a 5% significance level, indicating that the null hypothesis was rejected.

Table 2: Test for Validity

Factors	KMO Test	Barlett's Test of Sphericity		
		Chi-Square	df	Sig.
Role of Student Based-Political Programmes	.993	231.50	4	0.001

Extraction Method: Principal Component Analysis.

Source: (Researcher, 2023)

To ensure the credibility of qualitative data, the study utilized two methods: first, prolonged engagement with data to understand the researcher's personal experiences and identify viewpoints that may have resulted in methodological bias; this was done to clearly and accurately presenting participants' perspectives. Secondly, negative case analysis. The negative case analysis involved removing or deleting data points that did not align with the research themes. According to Kuper and Lingard (2008), these procedures effectively enhance the credibility of qualitative studies.

The reliability of an instrument is determined by its ability to measure what it is designed to measure accurately. The questionnaire's reliability was ensured by maintaining internal consistency and conducting a pilot study. According to Pandey (2015), a questionnaire is deemed reliable if a Cronbach's Alpha coefficient of 0.70 or higher is achieved. The variables were tested using a reliability test using SPSS, and the results are presented in Table 3.

Table 3: Reliability Test

Variable	Cronbach alpha
Role of Student Based-Political Programmes	.987

Source: (Researcher, 2023)

A pilot study was conducted to test the reliability of research instruments such as questionnaires, focus group discussions, and key informant interview guides. The study was conducted at the Multimedia University of Kenya FM station (MMU FM) in Nairobi. MMU FM was chosen because it shares similarities with MMUST FM. Both radio stations are based in public universities and broadcast student-based programmes. The pilot study helped refine the research instruments by testing the survey instruments before the main study. The

processes and approaches used in the pilot study were comparable to those used in the main study. Data from the pilot study was not used in the main study.

The study ensured consistency of qualitative data by adopting data triangulation. According to Fraser (2001) data triangulation involves the use of different methods and perspectives to collect qualitative data. This study used key informant interviews and focus group discussion sessions. This strategy produced a more comprehensive set of qualitative findings.

V. DATA ANALYSIS AND DISCUSSIONS

Table 4: Questionnaire Return Rate

		Frequency	Percent (%)
Valid	Returned	303	81.9
	Not Returned	67	18.1
Total		370	100.0

Source: (Researcher, 2023)

During the study, 370 questionnaires were distributed to the respondents, out of which 303 were filled correctly and returned, resulting in a response rate of 81.9%. According to Saunders, Saunders, Lewis, and Thornhill (2007), a response rate of 50% is considered satisfactory, 60% is good, and 70% and above is considered perfect. The study also conducted four focus group discussions with elected student leaders; three FGDs had eight participants while one group had seven participants. All groups had a response rate above 90%. Additionally, three key informant interview sessions were held with the political programmes producers at the radio station and all three producers

participated. The research questions and findings were based on the responses provided by the respondents.

Figure 1 shows undergraduate students' listenership of student-based political programmes on MMUST FM. It demonstrates that the majority of the sampled respondents, 61%, indicated that they do listen to student political programs on MMUST FM compared to 39% who stated that they do not listen to these programs. The findings infer that most of the respondents who contributed to the study were familiar with student-based political programs on MMUST FM, which also enhanced the accuracy of the study results.

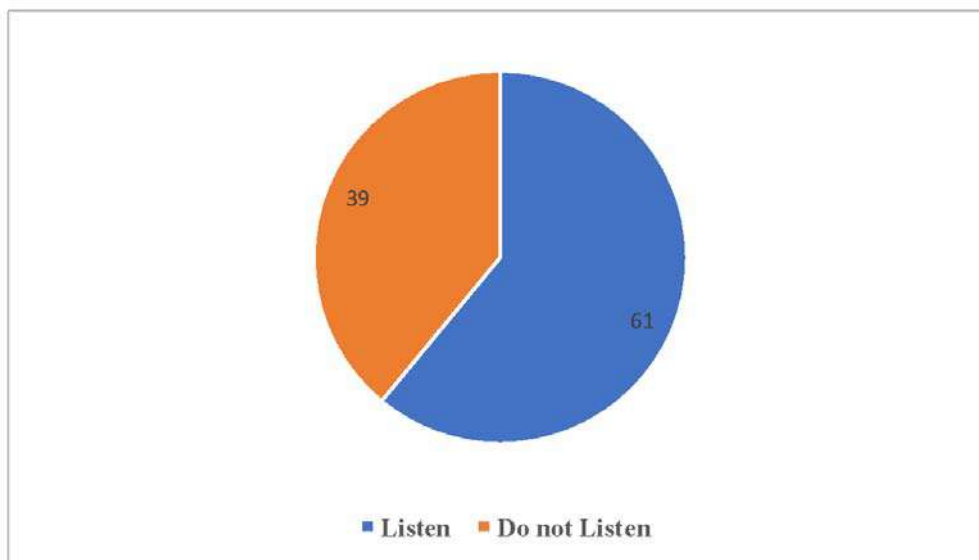


Figure 1: Responses on Listenership of Student-based Political Programmes on MMUST FM

The study examined the role of student-based political programmes in MMUST FM in the following order: first, the role of these programmes in voicing political views on campus. Second, the role of these programmes in facilitating political dialogue was analysed. Third, the role of the programmes in covering local political news on campus and promoting diversity of political opinion on campus was examined. Table 5 below displays quantitative findings from the questionnaire.

Table 5: Responses on the Role of Student-based Political Programmes in MMUST FM

Description	N	SA (%)	A (%)	NS (%)	D (%)	SD (%)	Mean	SD
<i>Political Voice</i>								
MMUST FM's political programmes allow students to voice political views on campus.	303	68(22.4)	67(22.1)	95(31.4)	48(15.8)	28(8.3)	2.65	1.222
<i>Political Dialogue</i>								
MMUST FM's political programmes facilitate political dialogue between the student leaders and students on campus	303	71(23.4)	69(22.8)	100(33.0)	40(13.2)	23(7.6)	2.59	1.198
<i>Local Political News</i>								
MMUST FM's political programmes cover local news that affects students on campus	303	22(7.3)	33(10.9)	114(37.6)	83(27.4)	51(16.8)	3.36	1.106
<i>Diversity of Political Opinion</i>								
MMUST FM's political programmes facilitate diversity of political opinion on campus.	303	51(16.8)	41(13.5)	130(42.9)	61(20.1)	20(6.6)	2.86	1.122

Source: (Researcher, 2023)

The following parameters were used by the study: 1= Strongly Agree (SA), 2= Agree (A), 3 = Not sure (NS), 4=Disagree (D) and 5 = strongly disagree (SD), N=303

Table 5 demonstrates that 22.4% of the sampled respondents strongly agreed, and 22.1% agreed that MMUST FM's political programmes play the role of voicing students' political views on campus; 31.4% were not sure. In comparison, 15.8% and 8.3% of the respondents disagreed and strongly disagreed, respectively. There were strong views from the focus group discussants that MMUST FM's political programmes allow students to voice their political opinions. One of the student leaders who took part in the focus group discussions clarified his argument in the following way:

'Political programmes in MMUST FM allow us to voice our political views. For example, a programme like Campus Vibe that airs every week gives comrades a chance for our voices to be heard. In this way, MMUST FM provides a platform for our views to be heard. Comrades have been able to develop political understanding because of these programmes.' Personal Communication (Focus group discussion 2023)

From the key informant interview guides, the radio producers stated that student-based political programmes in MMUST FM give the student community a voice to vent their political views. One of them said as follows:

"Political programmes in MMUST FM have given the student community a platform for their voices that did not exist before. Here, they have an avenue where their views can be heard in a structured manner. This gives them a sense of belonging in one way or another." Personal Communication (Key Informant Interview, 2023)

These findings affirm that MMUST FM's student-based political programmes are a vocal political instrument on campus. Generally, these findings give credence to the Democratic Participant Media Theory. In one of its tenets, McQuail (1987) posits that local media programmes are public forums where local voices and views are heard in a thriving community media environment.

The findings are also in line with other studies. For instance, Gamson (2001) established that radio programmes appropriately handled political discussions and created spaces where public members could have their say on the day's political issues. These findings further correspond with Tucker (2013), who argues that community media platforms provide a platform where members of a particular community can deliberate on issues. In his findings, Mwesige (2009) avers political talk-show programmes that allow the masses to vent their views freely without censorship. Mwesige (2009)

further reinforces this finding by asserting that audiences freely sharing their political opinions through political programmes on radio increases political consciousness in society, which leads to good political governance. The finding demonstrates that MMUST FM's student-based political programmes are a popular medium for expressing students' political views on campus and could facilitate the growth of democratic space in MMUST.

Table 5 above demonstrates the findings from the questionnaires on the role of MMUST FM's student political programmes in facilitating political dialogue. The results indicate that 23.4% and 22.8% strongly agreed and agreed that MMUST FM's political programmes facilitate political dialogue on campus, 33.0% were unsure, while 13.2% and 7.6% disagreed and strongly disagreed. The study sought views from discussants using the qualitative approach, and strong opinions from student leaders indicated that student-based political programmes facilitate political dialogue between them as student leaders and the students they represent in political leadership. One discussant demonstrated as follows:

'In my strongest opinion, I feel that a programme like Comrade Weekly, which allows comrades to call in and talk to us live in the studio, gives us a rare opportunity to converse with our electorate.' Personal Communication (Focus Group Discussion, 2023)

Producers of student-based political programmes on MMUST FM also believe they facilitate campus dialogue. One of the producers demonstrated as follows:

"When you analyse the structure of the talk show programmes, you will realise that students have an opportunity to talk to each other. Leaders have an opportunity to respond to questions from the student community, and the community has a chance to take their leaders into account. I think that is dialogue." Personal Communication (Key Informant Interview, 2023)

The qualitative and quantitative approaches of the study demonstrate how students communicate through political programmes in MMUST FM to facilitate political dialogue. MMUST FM facilitates one of the critical pillars of democracy: an exchange of ideas and opinions between the governors (student leaders) and the governed (student community). The finding aligns with the Democratic Participant Media Theory by McQuail (1987), who argues that community media should give spaces for community members to discuss community-based issues. The finding further agrees with Ngugi and Kinyua (2014), who observed that dialogue is enhanced by people who live together by the things they have in common. Dialogue is how a community possesses things in common through a community media platform. The study confirms Tucker (2013), who, in a survey, found that community radios like MMUST FM are critical linkages where community

members can talk to each other without meeting face to face. Chibita (2010) lends credence to these findings by arguing in her conclusions that radio programmes, especially radio talk shows, have made it possible for radio stations to engage the public in political debates and dialogue. The findings give credibility to the argument that MMUST FM's student-based political programmes play a crucial role in facilitating political dialogue between student leaders and the student community, which is paramount to achieving the growth of democracy on campuses.

Table 5 above presents the results obtained from the questionnaires on the role of MMUST FM's student-based political programmes in covering local political news concerning students on campus. The data reveals that only 7.3% and 10.9% of the respondents strongly agreed and agreed that MMUST FM's political programmes cover local political news concerning campus students. Most participants, 37.6%, were unsure, while 27.4% disagreed and 16.8% strongly disagreed with the statement. The quantitative findings indicate that MMUST FM needs to give more attention to local political news relevant to the student community on campus.

In the focus group discussion, student leaders had differing opinions on whether MMUST FM's student political programmes cover local political news relevant to the student community on campus. One student leader explained:

"News in MMUST FM does not focus on our political stories as it should. Most political news stories focus on regional and national politics; this can be very frustrating, especially when there are important stories to be told about students on their radio station." Personal Communication (Focus group discussion, 2023)

Another student leader had a contrary opinion and demonstrated as follows:

"Local student political news is given enough coverage at the radio station. For instance, during the campaign period, these political stories made us known to the student community. These news stories give us platforms we do not receive on national broadcasters like Citizen Radio." Personal Communication (Focus group discussion, 2023)

The radio producers in the key informant interview sessions disagreed. They explained that the programmes cover local political news. One of the producers who produce news programmes at the radio station demonstrated as follows:

"As a radio station, we try to cover local political stories that touch on students as much as possible. However, we have a challenge when collecting and analysing these stories, especially during the elections. This is because we are somehow thin on the ground, and our student volunteer reporters in the field are sometimes held up by their academic assignments. This is a challenge that many community radio stations like MMUST FM face." Personal Communication (Key Informant Interview, 2023)

The quantitative and qualitative findings contradict the argument made by Ross and Rolt (2005) that community radio provides a platform for public deliberation and a space where diverse community opinions can be expressed and tolerated.

The qualitative approach further revealed that the political programmes run by MMUST FM, which is a student-run radio station, are unreliable sources of local political news on campus. Although the establishment of campus radio stations has provided a new avenue for sharing local political news, most of the news covered on MMUST FM needs more content related to the students. This finding contradicts the research conducted by Myers (2008), who claimed that radio is the primary source of news and information in Africa, particularly in political contexts. The purpose of grassroots media like MMUST FM is to serve the interests of the local student community. However, this study indicates that MMUST FM needs to improve its coverage of local political stories to enhance and strengthen the political fabric of undergraduate students on campus.

According to Ngugi and Kinyua (2014), grassroots radio stations like MMUST FM have a responsibility to broadcast local content that impacts a particular community. Their research suggests that MMUST FM's coverage of political news could be improved by covering more local political news stories affecting campus students. By focusing on local issues that impact students on campus, MMUST FM can better serve the political interests of the student population at the university level.

Table 5 above shows that only 16.8% of the respondents strongly agreed that MMUST FM's political programmes encourage diversity of political opinions on campus, 13.5% agreed, 20.1% disagreed, and 6.6% strongly disagreed. The majority of the respondents, comprising 42.9%, were unsure. The study's quantitative method reveals that MMUST FM's political programmes have not been successful in promoting a diversity of political opinions on campus. In contrast, the qualitative approach suggests that student leaders strongly believe that political programmes supported by MMUST FM facilitate a diversity of political opinions. One discussant illustrated this point as follows:

'In my opinion, the student political programmes in MMUST FM facilitate a variety of political opinions because no one is denied the chance to air their opinion at the radio station. I have not seen any form of discrimination regarding opinions expressed by students at the radio station. Sometimes, when we have fascinating political discussions, everyone is allowed to contribute in one way or another irrespective of their year of study or the programme they are undertaking'
Personal Communication (Focus group discussion, 2023)

The radio producers also elicited similar remarks. One producer explained:

"One unique programming trait is that we do not discriminate against any student. We have slots for the marginalised and disabled in our political programmes and encourage students from all disciplines and levels of study to participate in the political programmes. If students fail to convey their political opinions via MMUST FM, it is by choice and design. Inclusivity in programming is one of our core values as a radio station." Personal Communication (Key Informant Interview, 2023)

The qualitative approach shows that student-based political programmes at MMUST FM help establish and maintain an ideal campus community by providing a platform for student leaders to express their opinions. However, the quantitative data reveals that the student-based political programmes at MMUST FM should represent undergraduate students' broad range of views within the student community. These quantitative findings do not support McQuail's Democratic Participant theory (1987), which suggests that community media platforms should enable local communities to express their views at the community level. On the other hand, the qualitative findings align with Ross and Rolt's (2005) argument that grassroots radio serves as a forum for public deliberation, where diverse community opinions can be expressed and tolerated.

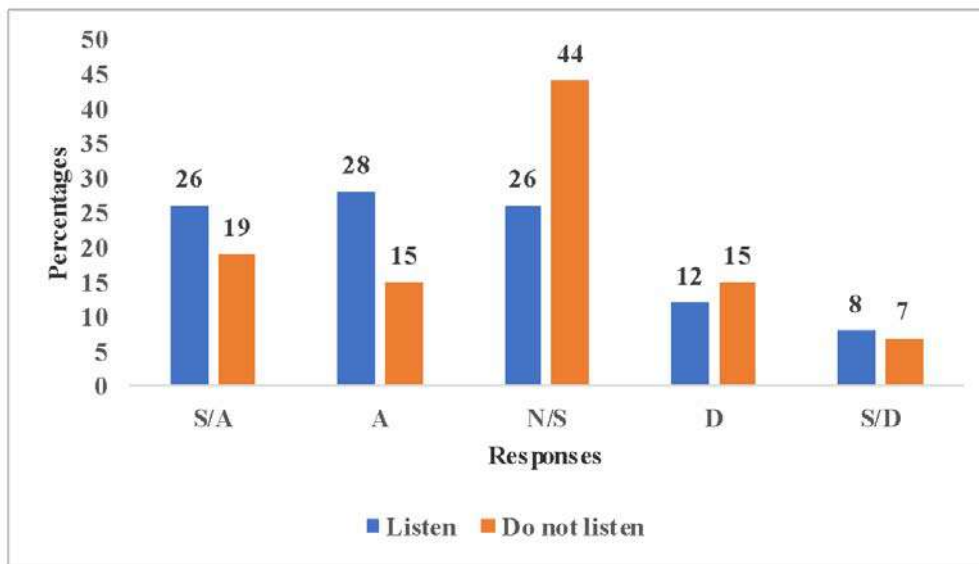


Figure 2: Responses on the Role of MMUST FM's Political Programmes in Facilitating Political Dialogue based on Listenership of Student-based Political Programmes

Figure 2 demonstrates that 26% of the respondents who listen to MMUST FM's student-based political programmes strongly agreed that MMUST FM's political programmes facilitate political dialogue between student leaders and students on campus, compared to 19% of respondents who do not listen to these programmes. Furthermore, 28% of the respondents who listened to the programmes agreed with the statement, compared to 15% of the respondents who did not listen to these programmes. In addition, 26% of the respondents who listen to these programs returned not sure compared to 44% of those who do not listen to these programmes; 12% of the respondents who listen to the programmes disagreed with the statement compared to 15% from those who do not listen to the programmes. Finally, 8% of the

respondents who listened to the programmes strongly disagreed with the statement, compared to 7% who did not listen. These findings show that respondents who listen to student-based political programmes on MMUST FM feel that the programmes facilitate political dialogue on campus compared to those who do not listen to these programmes.

a) Inferential Statistics for the Role of Student-based Political Programmes in MMUST FM

Hypothesis: Role of Student-based Political Programmes in MMUST FM on Students' Politics

H_0 : The role of student-based political programs in MMUST FM has no significant influence on students' politics in MMUST

Table 6: Model Summary

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.991 ^a	.982	.982	3.313

a. Predictors: (Constant), Role of Student-Based Political Programmes on MMUST FM

Source: (Researcher, 2023)

According to Table 6, the R-Square value is 0.982. The figure implies that the roles of student-based political programmes at MMUST FM explain 98.2% of the variation in students' political involvement. These

roles include voice to political views, political dialogue, local political news coverage on campus, and diversity of political opinion on campus.

Table 7: Anova Test

	Model	Sum of Squares	Df	Mean Square	F	Sig.
1	Regression	177286.093	1	177286.093	16152.746	.000 ^b
	Residual	3303.656	301	10.976		
	Total	180589.749	302			

a. Dependent Variable: Students' Politics

b. Predictors: (Constant), Role of Student-Based Political Programmes on MMUST FM

Source: (Researcher, 2023)

According to Table 7, at a significance level of 0.05, the independent variable - the role of student-based political programmes in MMUST FM - is crucial in

predicting students' politics. This is supported by a significance p-value of 0.000, lower than the 0.05 significance level ($p=0.000<0.05$).

Table 8: Coefficients of the Model Role of Student-based Political Programmes in MMUST FM

	Model	Unstandardized Coefficients B	Std. Error	Standardized Coefficients Beta	T	Sig.
1	(Constant)	-6.845	.534		-12.831	.000
	Role of Student- Based Political Programmes in MMUST FM	4.648	.037	.991	127.093	.000

a. *Dependent Variable: Students' Politics*
Source: (Researcher, 2023)

According to Table 8, the Role of Student-Political Programmes in MMUST FM significantly impacted student politics at MMUST, as evidenced by the t-statistic of 127.0 and p-value of 0.00, which is less than the 5% significance level. Therefore, we can reject the null hypothesis with a 95% confidence level, indicating that the Role of Student-Political Programmes in MMUST FM positively influenced university politics.

VI. RESEARCH IMPLICATIONS

According to the study, the political programmes run by MMUST FM, a student-run radio station, serve as a platform for expressing political views and encourage discussions on diverse political opinions on campus. These findings align with McQuail's theory, emphasizing the importance of localized media programmes when dealing with local community issues. However, the study also found that the programmes have deficiencies in covering local political news that impacts students on campus. This neglects the democratic participant media theory, which suggests that local media outlets are better suited to cover local news than larger commercial and public media systems.

Based on the research, student-run political programmes have established a solid political foundation on campus and increased political awareness among the student community. However, MMUST FM's news editorial policy needs to fulfill the fundamental responsibility of a grassroots medium, which is to prioritize news stories that affect the student community it serves.

VII. CONTRIBUTIONS TO SCIENTIFIC COMMUNITY AND FUTURE RESEARCH

Although the current study provides reliable data on how university radio stations political programmes influence students' politics, it is essential to acknowledge its limitations while interpreting the results. This study specifically focused on the role of student-based political programmes on MMUST FM. Even

though most studies and legislations have classified university-based radio stations as community radio stations, the findings of this study state otherwise. For instance, most respondents felt that the university administration interferes with the editorial policy of the radio station. This scenario means that university-based radio stations significantly fail to live up to the ideals of a community radio station, which dictates that a radio station should be fully owned and run by the community. With this existing scenario, there is a need for a study to examine the concept and philosophy of a university-based radio station.

VIII. CONCLUSION

Based on the research, student-run political programmes have established a solid political foundation on campus and increased political awareness among the student community. However, MMUST FM's news editorial policy needs to fulfill the fundamental responsibility of a grassroots medium, which is to prioritize news stories that affect the student community it serves.

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Analysis of Modern Air Transportation in Russia

By Tatyana A. Petrova & Valerii A. Kardanov

Russian New University

Abstract- Modern air cargo transport is an important part of global logistics and trade. They provide fast and efficient delivery of goods all over the world. In recent years, there have been several significant changes in the development of air routes both in the Eurasian Economic Union (hereinafter referred to as the EAEU), and in Russia, in particular. Additionally, in light of recent global events such as the COVID-19 pandemic, air cargo has faced additional challenges related to restrictions on passenger flights, changes in airport operating hours and increased health regulations, while the geopolitical situation has had a significant impact on transport and development of transport infrastructure throughout the EAEU. All these challenges make this study relevant. In addition, the article examines the rules of law that regulate issues of economic and customs space, as well as solve the problems of applying bans on customs duties and other restrictions on the free movement of goods, services and financial resources. Ways have been proposed to overcome restrictions on air transportation within the framework of the EAEU.

Keywords: airlines, anti-russian sanctions, air routes, cargo turnover, EAEU, air transport industry, special economic zone, transportation of goods, FCS of Russia.

GJHSS-H Classification: LCC: HE9915



ANALYSIS OF MODERN AIR TRANSPORTATION IN RUSSIA

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Analysis of Modern Air Transportation in Russia

АНАЛИЗ СОВРЕМЕННЫХ АВИАПЕРЕВОЗОК В РОССИИ

Tatyana A. Petrova ^α & Valerii A. Kardanov ^σ

Abstract- Modern air cargo transport is an important part of global logistics and trade. They provide fast and efficient delivery of goods all over the world. In recent years, there have been several significant changes in the development of air routes both in the Eurasian Economic Union (hereinafter referred to as the EAEU), and in Russia, in particular. Additionally, in light of recent global events such as the COVID-19 pandemic, air cargo has faced additional challenges related to restrictions on passenger flights, changes in airport operating hours and increased health regulations, while the geopolitical situation has had a significant impact on transport and development of transport infrastructure throughout the EAEU. All these challenges make this study relevant. In addition, the article examines the rules of law that regulate issues of economic and customs space, as well as solve the problems of applying bans on customs duties and other restrictions on the free movement of goods, services and financial resources. Ways have been proposed to overcome restrictions on air transportation within the framework of the EAEU.

Keywords: airlines, anti-russian sanctions, air routes, cargo turnover, EAEU, air transport industry, special economic zone, transportation of goods, FCS of Russia.

Аннотация- Современные воздушные грузовые перевозки являются важной частью мировой логистики и торговли. Они обеспечивают быструю и эффективную доставку товаров по всему миру. В последние годы произошло несколько значительных изменений в развитии воздушных маршрутов как в самом Евразийском экономическом союзе (далее – ЕАЭС), так и в России, в частности. Кроме того, в свете недавних глобальных событий, таких как пандемия COVID-19, воздушные грузовые перевозки столкнулись с дополнительными вызовами, связанными с ограничениями на пассажирские рейсы, изменениями в режимах работы аэропортов и ужесточением санитарных требований, а геополитическая ситуация оказала существенное влияние на транспорт и развитие транспортной инфраструктуры всего ЕАЭС. Все эти вызовы делают данное исследование актуальным. Кроме того, рассмотрены нормы права, которые регламентируют вопросы экономического и таможенного пространства, а также решают проблемы применения запретов на таможенные пошлины, и иные ограничения для свободного перемещения товаров, услуг и финансовых средств. Предложены пути преодоления ограничений на

совершение перевозок авиационными видами транспорта в рамках ЕАЭС.

Ключевые слова: авиакомпании, антироссийские санкции, воздушные маршруты, грузооборот, ЕАЭС, авиатранспортная отрасль, особая экономическая зона, перевозка товаров, ФТС России.

1. Введение

В 2022 году начались изменения логистических маршрутов и конфигурации международных транспортных коридоров на всем евразийском пространстве. В этих условиях продолжается развитие евразийских транспортных коридоров и реализация приоритетных интеграционных и инфраструктурных проектов в сфере транспорта. Чтобы обеспечить свободу перемещения товаров и грузов по территории государств-членов Евразийского экономического союза (далее – ЕАЭС), ведется мониторинг ситуации в пунктах пропуска, расположенных на таможенных и внутренних границах между государствами-членами. Активно формируется право в сфере транспорта, основанное на Договоре о ЕАЭС, подписанном 29 мая 2014 года, и на Решении Высшего совета ЕАЭС от 11 декабря 2020 года¹.

Очевидно, что сегодня возросла актуальность новых устойчивых логистических цепочек и ускорения развития международных маршрутов. В условиях разворота грузопотоков на Восток и в Азию новую жизнь обретают классические коридоры «Север-Юг», «Европа - Западный Китай», «Новый шелковый путь» и «Транскаспийский международный транспортный маршрут».

II. Статистический Обзор

Если говорить о направлении «Восток-Запад» или Транскаспийском транспортном маршруте, то туда входят такие страны, как Китай, Казахстан, Кыргызстан, Узбекистан, Беларусь. Его южное направление развивают Китай, Казахстан, Азербайджан, Грузия, Турция. «Восток-Запад» предназначен для роста грузопотоков из Китая в Турцию, а также в страны Европейского союза (далее – ЕС), и в обратном направлении.

Управляет транспортными коридорами консорциум этих стран. Как показывает статистика,

¹ Решение Высшего совета ЕАЭС от 11.12.2020 № 12 "О Стратегических направлениях развития евразийской экономической интеграции до 2025 года". <https://www.alt.ru/tamdoc/20vr0012/>

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сильно увеличился грузопоток по направлению "Север-Юг". Грузооборот в 2022 году достиг 3 млн. тонн, а в первом квартале 2023 года 800 тысяч тонн, что по сравнению с аналогичным периодом прошлого года больше на 72%².

Также в рамках развития воздушных маршрутов в России наблюдается рост числа международных авиасообщений. Новые воздушные маршруты связывают Россию с различными странами и обеспечивают развитие туризма, бизнеса и обмена культурой. Особое внимание уделяется развитию воздушных маршрутов в рамках стран Содружества независимых государств и дальнего зарубежья, таким как Китай, Япония, Турция и другие.

Кроме того, в свете стремительного развития туристической индустрии и повышенного спроса на воздушные перевозки внутри страны, появляются новые воздушные маршруты между крупными городами и туристическими центрами.

Объем перевозок воздушным транспортом в России в 2022 году составил 0,6 млн. т (-59% г./г.), а грузооборот 2,8 млрд. т-км (снижение в 3,3 раза г./г.).

Из-за ограничений доступа на международные рынки совокупный объем грузовых перевозок, в том числе почтовых, российскими авиакомпаниями за 2022 год сократился до 599,05 тыс. т, что на 59,42% меньше показателей 2021 года. Это следует из данных, опубликованных в Единой межведомственной информационно-статистической системе (ЕМИСС)³. Таким образом, показатели достигли уровня 2001 года, когда авиакомпании перевезли 614 тыс. т грузов.

В 2022 году сократились и перевозки пассажиров авиакомпаниями из России. Однако снижение было не таким значительным, как в объеме грузовых перевозок. За прошедший год компании перевезли 95,21 млн. человек (-14,21%). [1]

29 мая 2022 года в рамках поддержки авиационных грузоперевозок Правительство России выделило компаниям на возмещение операционных расходов 2,9 млрд. руб. По данным Росавиации, программой воспользовались четыре перевозчика. Всего за 2022 год государством из федерального бюджета выделено 172 млрд. руб. на поддержку гражданской авиации.

Общий чистый убыток крупнейших грузовых российских авиакомпаний по итогам 2022 года составил 2,1 млрд. рублей против суммарной чистой прибыли 59,6 млрд. годом ранее. Это

худший результат за последние три года. Общая выручка компаний, осуществляющих грузовые авиаперевозки, сократилась на 69,2%, до 71,9 млрд. рублей. Это минимальный результат за последние пять лет.

В других видах транспортировки грузов падения не было. Согласно данным Росстата, объем перевозок грузов российскими транспортными компаниями в прошлом году снизился только на 1,2%, до 7,95 млрд. т. Поставки по железной дороге сократились на 3,7%, до 1,24 млрд. т, трубопроводным транспортом — на 6%, до 1,1 млрд. т, а автотранспортом, наоборот, выросли на 0,3%, до 5,51 млрд. т.

На международные перевозки приходилось 77% грузопотока российских авиакомпаний. Однако после закрытия международных рынков и риска арестов самолетов за рубежом крупнейшие грузовые авиакомпании России AirBridgeCargo, SkyGates и "Атран" до сих пор не возобновили полеты⁴.

Объем грузовых авиаперевозок между Россией и ЕС в январе-ноябре 2023 года (рис. 1) составил 6,5 тыс. тонн на сумму 2,35 млрд. евро против почти 20,9 тыс. тонн (-68,6%) на сумму 5,8 млрд. евро (-59,5%) годом ранее.

² Как преобразуются транспортные коридоры внутри ЕАЭС и по внешним направлениям? Режим доступа: <https://mir24.tv/news/16555036/kak-preobrazuyutsya-transportnye-koridory-vnutri-eaes-i-po-vneshnim-napravleniyam>

³ <https://www.fedstat.ru/indicator/31314>

⁴ Костерева М. Объем грузовых авиаперевозок в России рухнул почти на 60% за 2022 год. Коммерсант. 23.03.2023. Режим доступа: <https://www.kommersant.ru/doc/5889099>



Составлено авторами по материалам источника [1]

Рисунок 1: Доли стран-импортеров в грузовых авиаперевозках между РФ и ЕС в январе-ноябре 2023 г.

В том числе перевозки грузов авиатранспортом из ЕС в РФ в отчетном периоде составили свыше 5,4 тыс. тонн на сумму почти 1,2 млрд. евро, тогда как в январе-ноябре 2022 года было перевезено 17,8 тыс. тонн (-69,4%) на сумму свыше 2 млрд. евро (-42,4%).

Самый крупный объем грузов, отправленных авиатранспортом из Евросоюза в Россию в январе-ноябре 2023 года, был в марте – 522 тонны (-14% относительно марта 2022 года), самый маленький – в октябре – 347 тонн (-38,2%).

Больше всего грузов в отчетном периоде авиатранспортом в РФ оправили Бельгия (1209 тонн на сумму 50,7 млн. евро), Нидерланды (872 тонны на сумму 220,2 млн. евро) и Италия (1122 тонны на сумму 113,5 млн. евро).

Из России в ЕС в отчетном периоде авиатранспортом было отправлено 1109 тонн грузов на сумму 1,16 млрд. евро, тогда как в январе-ноябре 2023 года свыше 3 тыс. тонн (-64,2%) на сумму 3,7 млрд. евро (-68,9%).

Меньше всего грузов авиатранспортом в отчетном периоде Россия отправила в ЕС в июле – 51 тонн (-81,2%), больше всего в апреле – 271 тонну (-38,5%).

Больше всего грузов в ЕС в январе-ноябре 2023 года из России было отгружено в Бельгию, Германию и Венгрию.

Бельгия получила авиатранспортом из России 284 тонн грузов (-7,2%) на сумму 303,5 млн. евро (-77,9%).

Германия импортировала из России авиатранспортом 239 тонн грузов (-73%) на сумму 293 млн. евро (-79,4%).

В Венгрию Россия отправила авиатранспортом 200 тонн на сумму 1,7 млрд. евро, тогда как годом ранее 109 тонн (+83,5) на сумму 1,7 млн. евро (-97,4%)⁵.

Между странами, входящими в ЕАЭС, продолжает расти сотрудничество в сфере перевозок. Как свидетельствуют данные статистики Евразийской экономической комиссии (далее – ЕЭК). Рост касается грузо- и пассажироперевозок.

Так, с января по октябрь 2023 года (по сравнению с аналогичным периодом предыдущего года) наблюдался рост как совокупного пассажирооборота по ЕАЭС (на 12,9%), так и национальных показателей: в Армении (в 1,8 раза), России (на 12,9%), Казахстане (на 11,5%), Беларуси (на 9,1%) и Кыргызстане (на 7,7%). При этом в отчетном периоде также увеличился грузооборот в Кыргызстане (на 8%) и Казахстане (на 3,1%).

⁵ Грузовые авиаперевозки между Россией и Евросоюзом, январь-ноябрь 2023. Режим доступа: <https://seanews.ru/2024/01/19/ru-gruzov-ye-aviaperevozki-mezhdu-rossiej-i-evrosojuzom-janvar-nojabr-2023/>

III. Анализ Нормативных Источников

Воздушное законодательство стран – участниц ЕАЭС, обеспечивающее правовую и организационную деятельность гражданской авиации, занимает особое место в системе нормативно-правовых обязательств государств, так как оно не должно находиться в противоречии с нормами Международного воздушного права, с нормами и правилами Конвенций, участником которых является государство, стандартами и рекомендуемой практикой ИКАО и одновременно должно соответствовать нормам и требованиям национального законодательства: Конституции, Гражданскому кодексу и другим национальным законам.

На территории России действует ряд нормативных правовых документов[2]:

- 1) Конституция РФ;
- 2) Воздушный кодекс РФ⁶;
- 3) Федеральный закон РФ от 08.01.1998 г. № 10-ФЗ «О государственном регулировании развития авиации»⁷;
- 4) Федеральные правила использования воздушного пространства РФ⁸;
- 5) Федеральные авиационные правила в области гражданской, государственной и экспериментальной авиации (более 35 наименований). Например:
 - Федеральные авиационные правила «Правила перевозки опасных грузов воздушными судами гражданской авиации»⁹
 - Федеральные авиационные правила «Общие правила воздушных перевозок пассажиров, багажа, грузов и требования к обслуживанию пассажиров, грузоотправителей, грузополучателей»¹⁰ и т.д.

Лидеры стран ЕАЭС на саммите в Санкт-Петербурге в конце 2023 года приняли декларацию о дальнейшем развитии Евразийского экономического союза до 2030 года и на период до 2045 года. Декларация определяет цели союза на среднесрочную перспективу по превращению в самодостаточный, гармонично развитый и привлекательный макрорегион для всех стран мира. Планируется экономический, технологический и интеллектуальный прогресс и сохранение высокого уровня благосостояния населения стран - членов к 2045 году.

Один из самых значимых проектов – это открытие воздушных маршрутов в дальние и отдаленные регионы страны, что способствует улучшению доступности данных территорий для пассажиров и развитию их экономики. Это включает в себя открытие новых регулярных маршрутов в рамках программы развития малой авиации и планов расширения маршрутной сети.

Вопреки временному ограничению полетов в ряде аэропортов на юге и в центральной части России и запрету доступа в воздушное пространство страны, самолетам недружественных стран, грузовые авиаперевозки продолжают развиваться. Все чаще выбирают доставку самолетом, особенно для срочной перевозки товаров и перевозки в отдаленные и труднодоступные населенные пункты. Самый высокий рост наблюдается по направлениям из Москвы в Калининград и в города Дальнего Востока (Южно-Сахалинск, Владивосток, Хабаровск, Благовещенск). Например, группа компаний "Деловые линии" в июне 2023 года запустила 6 тыс. новых направлений авиадоставки по России и в страны ЕАЭС¹¹.

Основными направлениями международных авиаперевозок сегодня становятся Индия, Китай и Турция. Например, спрос на авиаперевозки по турецкому маршруту увеличился в два раза по сравнению с прошлым годом. Сроки доставки самолетом варьируются от 2 до 6 дней и зависят в основном от таможенной обработки груза в аэропорту и экспортного оформления.

Важно отметить, что грузовая авиация развивается в отношении не только экспорта, но и импорта товаров, что способствует диверсификации российской экономики. Кроме того, она играет важную роль в доставке медицинских и других важных грузов в регионы, которые находятся в труднодоступных для сухопутного транспорта местах.

Таким образом, грузовые авиаперевозки в России не только продолжают развиваться, но и предоставляют стратегические возможности для развития бизнеса и содействия экономическому росту страны. Более того, расширение сети грузовых авиалиний как внутри страны, так и на международном рынке способствует укреплению связей с торговыми партнерами, а также обеспечивает более быструю и надежную доставку товаров.

Необходимо подчеркнуть, что авиаперевозки грузов минимизируют вероятность повреждения товаров, что делает авиасообщение одним из наиболее безопасных способов доставки.

⁶ от 19 февраля 1997 г. № 60-ФЗ

⁷ от 8 января 1998 г. № 10-ФЗ

⁸ утверждены Постановлением Правительства РФ от 11 марта 2010 г. № 138

⁹ утверждены Приказом Минтранса России от 5 сентября 2008 г. № 141; зарегистрировано в Минюсте РФ 29 сентября 2008 г. № 12356

¹⁰ утверждены Приказом Минтранса России от 28 июня 2007 г. № 82; зарегистрировано в Минюсте РФ 27 сентября 2007 г. № 10186

¹¹ Новая логистика и ее влияние на географию авиаперевозок в 2023 году. Режим доступа: <http://www.ato.ru/content/novaya-logistika-i-ee-vliyanie-na-geografiyu-aviaperevozok-v-2023-godu>

Строгие нормы и правила в аэропортах также способствуют быстрой и надежной транспортировке товаров по всему миру, что особенно важно для бизнеса и физических лиц, планирующих переезд или отправку товара за рубеж. Кроме того, потребитель получает двойную гарантию сроков доставки — от логистических партнеров и служб страхования. Последние готовы предоставить гарантии на грузоперевозки по небу в иностранные государства. Предприниматели выбирают сегодня воздушные перевозки еще и потому, что этот вид доставки грузов не требует использования сложной и дорогостоящей упаковки. Это, в свою очередь, облегчает процесс подготовки груза к отправке и способствует оперативности его доставки.

Тем не менее, в зависимости от авиакомпании, которая будет осуществлять перевозку, могут быть ограничения по характеру отправляемого груза. Например, заранее нужно согласовать перевозку аккумуляторов, жидкости и пастообразных веществ, лакокрасочных материалов, магнитов и др. Авиаперевозки - не только самый быстрый, но еще и один из самых дорогих видов доставки. Чтобы сделать их более доступными для клиентов, логистические операторы проводят акции. Например, "Деловые Линии" снизили цены в октябре прошлого года более чем по 8 тыс. направлений авиаперевозки¹².

23 июня 2023 года ЕС принял очередной пакет антироссийских санкций, касающийся также организаций из третьих стран, которые продолжают торговые отношения с Россией. Под удар попали такие государства как Китай, Узбекистан, ОАЭ, Армения.

Изменения коснулись, в том числе и проведения оплат. Партнеры перешли на полную предоплату до вылета и чаще отказываются от расчета в долларах, отдавая предпочтение местной валюте. Кроме этого, увеличились сроки зачисления средств — иногда на согласование и отправку валюты необходимо закладывать до двух недель.

Был введен запрет зарубежных таможенных органов на оформление товара, следующего в Россию или из России. Как известно, список "запрещенных" товарных кодов растет с каждым новым пакетом санкций. Возник отказ перевозчиков в принятии груза к перевозке из-за опасения вторичных санкций уже против самого перевозчика. Здесь может играть роль как характер груза (если по товарному коду он попадает в санкционные списки), так и компания-получатель

или отправитель груза (если она попала в черные списки ЕС).

На практике такие товары перевозятся транзитом через третьи страны, с подготовкой необходимых документов для чистоты таможенного оформления на всех этапах следования груза. В ряде дружественных или нейтральных стран ужесточились таможенные требования к оформлению транзитных грузов, следующих в Россию или из нее. Из-за дополнительных таможенных проверок увеличился срок оформления, а значит и общее транзитное время перевозки. Некоторые транзитные маршруты стали недоступны¹³.

IV. Справочный Материал

На конец мая 2023 года в парке семи основных авиакомпаний, обеспечивавших с 2021 года 54% всех грузовых перевозок, находится 48 самолетов российского (22) и американского (26) производства. В середине февраля 2022 года, по данным Росавиации, у этих перевозчиков было на восемь самолетов больше – суммарно 56 грузовых самолетов.

Авиационная отрасль сильно пострадала после ухода с российского рынка трех мировых гигантов — Boeing, Airbus и Embraer. Некоторые эксперты прогнозировали, что она и вовсе не сможет оправиться от потрясений. Тем не менее, серьезные подвижки в этом направлении имеются. Если взглянуть на статистику, может сложиться впечатление о катастрофическом состоянии отрасли:

- по последним расчетам в России работают 736 гражданских лайнеров;
- из них зарубежного производства — 559 (отечественных 177);
- 136 из 177 самолетов — это SSJ-100;
- SSJ-100 на 80% состоит из деталей иностранного производства[5].

Путем простых вычислений можно сделать вывод, что гражданская авиация в России на 96% состоит из иностранных деталей. Главными поставщиками традиционно выступали Соединенные Штаты Америки, Евросоюз и Бразилия — сейчас запчасти оттуда не доставляются. Параллельный импорт здесь помогает плохо. Например, Китай практически сразу отказал России в поставках авиационных запасных частей. Сейчас есть только соглашение с Ираном, но на фоне количества действующих самолетов объемы поставок слишком низкие.

¹² Новая логистика и ее влияние на географию авиаперевозок в 2023 году. Режим доступа: <http://www.ato.ru/content/novaya-logistika-i-ee-vliyanie-na-geografiyu-aviaperevozok-v-2023-godu>

¹³ Что изменилось в грузовых авиаперевозках после принятия 11 пакета санкций против России. Режим доступа: <https://www.dp.ru/a/2023/07/28/chto-izmenilos-v-gruzovih>

Так, за полгода 2023 г. в России было выпущено всего 2 гражданских лайнера. Прямо сейчас на стадии реализации находится «Правительственная программа развития

авиатранспортной отрасли до 2030 года», которая предполагает поэтапную замену зарубежных лайнеров на полностью отечественные (табл. 1).

Таблица 1: Сравнение параметров гражданских лайнеров

Параметр	МС-21	SSJ New	Ту-214	Ил-96
Дальность полета, км	6000	до 4578	до 7200	9000
Крейсерская скорость, км/ч	850	830	850	870
Вместимость, чел.	до 211	до 103	210	до 300
Двигатель	ПД-14	ПД-8	ПС-90	ПС-90
Серийный выпуск	с 2024 года	с 2023 года	выпускается	выпускается
Планы на выпуск до 2030 года, шт	270	142	70	12

Составлено авторами по материалам источника [4]

В августе 2023 года гендиректор «Ростеха» Сергей Чemezov пообещал поставлять ежегодно по 20 новых лайнеров Superjet SSJ New начиная с 2024-го. Главная особенность модели — практически полное импортозамещение комплектующих. Лайнеры будут оснащены российскими двигателями ПД-8.

Когда речь заходит о надеждах отечественной авиации, в памяти сразу всплывает МС-21 («Магистральный Самолет 21 века»)[4]. Проект активно обсуждался в СМИ, его часто упоминали политики. Испытания лайнера ведутся в полном объеме, сроки соблюдаются. В 2024-ом планируется выпустить минимум 6 готовых к рейсам самолетов, а всего до 2030 года — 270 штук. Если ранее на МС-21 намеревались установить американский двигатель Pratt&Whitney PW1431G, то теперь его заменит отечественный ПД-14.

Многие российские конструкторы считают, что ПД-14 будет полностью испытан в лучшем случае в 2025 году, поэтому озвученные Правительством сроки вызывают сомнения. Ведь речь, все-таки, идет о безопасности полетов гражданских самолетов, и здесь торопиться нельзя. К тому же ПД-14 дороже PW1431G и потребляет на 15% больше топлива, что обязательно отразится на цене билетов.

Ту-214, как и МС-21, относится к классу среднемагистральных машин и обладает сопоставимой дальностью полета. Он создавался в конце 1980-х — начале 1990-х годов, его производство ведется небольшими партиями на Казанском авиационном заводе в интересах специальных заказчиков. Это полностью российский самолет с отечественными двигателями ПС-90А производства Объединенной двигателестроительной корпорации, главная задача которого — помочь авиатранспортной отрасли и поддержать бесперебойные пассажирские перевозки в самый сложный момент.

Казанский авиационный завод планирует нарастить выпуск Ту-214 за счет ввода в эксплуатацию высокопроизводительного оборудования и модернизации существующих мощностей. Сейчас идет дополнительный набор основных производственных рабочих, изготовление и монтаж дублеров ступельно-сборочной оснастки, а также изготовление стенда автоматизированной стыковки крыла с фюзеляжем. Все это позволит увеличить пропускную способность цеха окончательной сборки. Также предполагается дополнительное оснащение лётно-испытательной станции.

Ту-214 надежный самолет и теперь необходимо расширять его производство. Одна из основных задач — выйти к 2025 году на производство 10 таких самолетов, а потом увеличить это число до 20 в интересах коммерческих авиакомпаний. При этом самолет по-прежнему будет поставляться специальным заказчиком. Для этой машины есть еще одна ниша — она может быть востребована для грузовых перевозок¹⁴.

ИЛ-96 — тяжелый самолет, способный пролететь до 9000 км за один рейс. Интересно, что именно на этом лайнере летает Президент РФ: «Борт №1» — это модифицированный вариант ИЛ-96.

В 2021-2022 гг. было выпущено всего по одному самолету данного типа. С 2024 г. планируется нарастить объемы до 2 шт. в год, но на большее промышленность пока не способна. Разумеется, это мало, так как нужно заменить 559 иностранных лайнеров.

Для некоторых отдаленных регионов небольшие самолеты — единственный способ добраться до населенного пункта. На этом рынке ситуация лучше, но пока очень далека до оптимальной (табл. 2).

¹⁴ Расправляя крылья: как идет импортозамещение в российской авиации. Режим доступа: https://nvo.ng.ru/economics/2023-08-31/10_0_300820232054.html

Таблица 2: Сравнение параметров небольших гражданских самолетов

Параметр	Ил-114	ТВРС-44	Л-410	ЛМС-901
Дальность полета, км	1400	2200	1500	3000
Крейсерская скорость, км/ч	500	480	310	300
Вместимость, чел	60	44	19	9
Двигатель	ТВ7-117СТ-01	ТВ7-117СТ-02	GE H80-200	ВК-800СМ
Серийный выпуск	с 2025 года	с 2025 года	выпускается	с 2024 года
Планы на выпуск до 2030 года, шт	70	140	178	154

Составлено авторами по материалам источника [4]

ЛМС-901 “Байкал”, приемник Ан-2, уже был испытан в небе, но у него есть существенный недостаток — наличие американского двигателя.

По оценкам конструкторов, установить на самолет отечественный ВК-800СМ и получить все необходимые разрешения удастся только в 2025 году, а первые образцы авиакомпания приобретут в 2024 г.. Однако и здесь не обошлось без недостатков: первые “Байкалы” планируется использовать не для пассажирских перевозок, а в работе авиационной охраны лесов и санитарной авиации. Кроме того, эксперты заявляют о слишком высокой стоимости летного часа, так как самолет вмещает всего 9 человек. Если вместимость не увеличить, вертолет окажется дешевле [5].

V. Анализ Проблем

Так, согласно “Комплексной программе развития авиатранспортной отрасли Российской Федерации до 2030 года” к концу 2025 г. не менее 70% иностранных самолетов останутся в работе за счет параллельного импорта. Далее долю будут наращивать отечественные модели. Эксперты уверены, что при выполнении поставленных планов проблем не возникнет¹⁵.

По оценке некоторых специалистов, основная проблема кроется даже не в оборудовании: именно здесь много наработок. Самолеты делают люди, а не деньги, поэтому насыщение отрасли кадрами играет первостепенную роль.

“Аэрофлот” и госкорпорация “Росатом” идут по пути создания цельной авиационно-производственной структуры, которая будет заниматься разработкой, сертификацией и производством комплектующих для любых видов иностранных воздушных судов.

В сентябре 2023 г. в рамках Восточного экономического форума “Аэрофлот” и “Росатом” заключили меморандум о стратегическом сотрудничестве в сфере производства

комплектующих и компонентов для технического обслуживания и ремонта самолетов.

Сертифицированное производство и ремонт авиационных комплектующих и компонентов партнеры налаживают на базе научно-производственного дивизиона “Ростатома”.

Планируются следующие направления: воздушные и водяные фильтроэлементы; пластиковые, металлические, композитные, сотовые, резинотехнические изделия; составные изделия; электронное оборудование пассажирской кабины — инверторы, блоки питания, датчики, компоненты нагрева и освещения, световое и индикационное оборудование.

В настоящее время отсутствие профильной научно-производственной базы мешает перевозчикам, ремонтникам и разработчикам авиатехники самостоятельно выпускать аналоги иностранных деталей к западным самолетам. Авиакомпании ремонтируют парк западных самолетов своими силами, без техподдержки со стороны Boeing и Airbus.

У “Росатома” же есть необходимые ресурсы, научные и исследовательские компетенции, опыт мелкосерийного производства, в том числе специальных технологий. Его продукция соответствует самым высоким российским и международным стандартам, системам менеджмента качества, в том числе Международного агентства по атомной энергии, Международной организации по стандартизации и др.

Реализация проекта позволит гарантированно решить достаточно большую часть имеющихся сегодня проблем авиакомпаний группы, а впоследствии и других авиаперевозчиков страны¹⁶.

Годом ранее, в апреле 2022 г., было подписано соглашение о создании Евразийской технологической платформы (далее - ЕТП) между представителями Центра компетенций развития промышленности Ульяновской области, 558-го авиаремонтного завода города Барановичи

¹⁵ Круглосуточная работа и двигатель ПД-8: как Россия справляется с импортозамещением авиации. Режим доступа: <https://vc.ru/transport/841478-kruglosutochnaya-rabota-i-dvigatel-pd-8-kak-rossiya-spravlyatsya-s-importozameshcheniem-aviacii>

¹⁶ Аэрофлот и Росатом импортозаместят авиазапчасти для российских перевозчиков. Режим доступа: <https://ria.ru/20231020/importozameshchenie-1904146275.html>

Республики Беларусь, а также товарищества с ограниченной ответственностью “Казахстанская авиационная индустрия” Республики Казахстан.

ЕТП – объект инновационной инфраструктуры, направленный на стимулирование взаимовыгодного инновационного развития предприятий и комплексов национальной авиационной промышленности, создания перспективных коммерческих технологий, высокотехнологичной, инновационной и конкурентоспособной продукции на основе участия всех заинтересованных сторон: бизнеса, науки, государства, общественных организаций. Целью ЕТП является обеспечение эффективного взаимодействия сторон на основе объединения потенциалов стран ЕАЭС.

На территории портовой особой экономической зоны (далее – ОЭЗ) “Ульяновск” действует режим свободной таможенной зоны, который позволяет ввозить в ОЭЗ зарубежные товары без уплаты таможенных пошлин, налога на добавленную стоимость и акцизов. Рассматривается создание Центра техобслуживания воздушных судов на ее территории, в котором смогут обслуживаться самолеты стран-участниц ЕАЭС, в том числе иностранного производства, а также запуск Центра кастомизации самолетов разного типа.

На заводе “Промтех-Ульяновск” для гражданских самолетов производятся композитные панели пола, система воздухопроводов низкого давления, авиационные кресла и аварийно-спасательное оборудование. На 2023 г. было намечено строительство нового производственного корпуса для наращивания серийного производства. Кроме того, стороны рассмотрели вопросы организации на базе ОЭЗ логистического центра и Центра консолидации и распределения запасных частей для воздушных судов стран ЕАЭС¹⁷¹⁸.

VI. Заключение

Современные воздушные грузовые перевозки находятся в процессе постоянной трансформации под влиянием различных факторов, включая технологические инновации, международное сотрудничество, усиление таможенного контроля и рост объемов грузоперевозок. Для успешной адаптации к этим изменениям логистические компании и таможенные службы должны постоянно развивать свои процессы и сотрудничать для обеспечения эффективной и безопасной доставки грузов.

Более тесное сотрудничество между странами также способствует снижению бюрократических препятствий и ускорению таможенных процедур. Однако все еще существуют вызовы, связанные с различными правовыми и административными процедурами в различных странах, что может усложнять воздушные грузовые перевозки и требует дополнительного внимания со стороны логистических компаний и таможенных служб.

Итоги деятельности в ушедшем году подвела Федеральная таможенная служба России. Она информирует, что в 2023 г. таможенными органами московского авиационного узла было зафиксировано более 11 тыс. нарушений при перемещении физическими лицами товаров и наличных денежных средств. Общая стоимость предметов контрабанды составила почти 4 млрд. руб.¹⁸¹⁹. В 40% случаев граждане нарушали таможенные правила при пересечении границы в аэропорту Шереметьево. По выявленным фактам сотрудниками Шереметьевской, Домодедовской и Внуковской таможен возбуждено 97 уголовных дел и 10 973 дела об административных правонарушениях (далее – АП). Наибольшая доля преступлений и правонарушений зафиксирована при незаконном перемещении валюты: зарегистрировано более 60 сообщений о преступлениях, ставших основой для 40 уголовных дел по ст. 200.1 УК РФ (контрабанда наличных), возбуждено 8429 дел об АП по ст. 16.4 (недекларирование либо недостоверное декларирование наличных). Это 73% от общего числа фактов незаконного перемещения денежных средств, выявленных таможенниками по всей стране за минувший год. Российские рубли, доллары США и евро наиболее часто незаконно ввозили из Турции, ОАЭ и Азербайджана. Вывозили — по тем же направлениям, а также в Китай, Узбекистан, Сербию и Израиль. Кроме того, граждане предпринимали попытки незаконного перемещения ювелирных украшений и наручных часов, брендовой одежды, электроники, культурных ценностей, алкогольной и табачной продукции, а также наркотических средств, психотропных и сильнодействующих веществ и их прекурсоров.

В целом, хотя авиаперевозки в России столкнулись с рядом вызовов, они продолжают играть важную роль в экономике и социальной инфраструктуре страны. Подвижки в авиастроительном направлении есть, отечественные самолеты на самом деле существуют и планируются к выпуску. Российские

¹⁷ Россия, Казахстан и Белоруссия создадут воздушный хаб для самолетов ЕАЭС в Ульяновске. Режим доступа: <https://most.report/rossiya-kazakhstan-i-belorussiya-sozdatut-vozdushnyj-hab-dlya-samolotov-eaes-v-ulyanovske/>

¹⁸ Россия, Казахстан и Белоруссия создадут воздушный хаб для самолетов ЕАЭС в Ульяновске. Режим доступа: <https://most.report/rossiya-kazakhstan-i-belorussiya-sozdatut-vozdushnyj-hab-dlya-samolotov-eaes-v-ulyanovske/>

компании способны удовлетворить спрос и не планируют сдвигать сроки. Но любой новый лайнер — это чрезвычайно сложная техника, требующая десятков тысяч часов экспериментальных полетов. Форсирование сроков, которое наблюдается сейчас, вызывает опасения. С другой стороны, выбора просто нет: количество зарубежных самолетов становится все меньше. Остается только надеяться, что с новыми MC-21, SSJ New, Ил-114 и другими новинками не случится то же, что и с Boeing 737 MAX.

Будущие перспективы будут зависеть от многих факторов, включая экономическую ситуацию в стране и за рубежом, степень государственной поддержки и возможности для дальнейшего развития и модернизации авиационной инфраструктуры [3].

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Navigating Disruption: Sustainable Entrepreneurship and Competitive Strategies for the Global Economy

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Abstract- The current economic context is characterized by rapid transformations driven by capitalism, resulting in significant technological advancements and innovations. In this scenario, new concerns and demands arise, such as the pursuit of socio-environmental sustainability and the need to address social inequality, which directly influence entrepreneurship. While these challenges are often seen as obstacles to business profitability, sustainable entrepreneurship emerges as a relevant strategic approach, enabling organizations to adapt and thrive in the era of disruption. In exploring this issue, the following research question arises: How can sustainable entrepreneurship become a facilitating issue for the global leaders in a disruptive environment? It is a descriptive, bibliographic research, qualitative approach, and secondary data source collection. The main research results point that sustainable entrepreneurship: (i) emphasizes innovation and the pursuit of creative solutions for social and environmental challenges; (ii) can provide direct benefits to society, such as improved working conditions and promotion of social equity; (iii) can offer a competitive advantage to entrepreneurs. Thus, this study contributes to understanding the strategies that entrepreneurs can adopt to face challenges and promote sustainable competitiveness.

Keywords: *sustainable entrepreneurship, disruption, technological innovation, socio-environmental responsibility.*

GJHSS-H Classification: *LCC: HD60*



NAVIGATINGDISRUPTIONSUSTAINABLEENTREPRENEURSHIPANDCOMPETITIVESTRATEGIESFORTHEGLOBALECONOMY

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Navigating Disruption: Sustainable Entrepreneurship and Competitive Strategies for the Global Economy

Lucas Oliveira Lima ^α, Sarah Silva Ferreira ^σ, Clemilda Gonzaga dos Santos ^ρ
& Solange Rodrigues dos Santos Corrêa ^ω

Abstract- The current economic context is characterized by rapid transformations driven by capitalism, resulting in significant technological advancements and innovations. In this scenario, new concerns and demands arise, such as the pursuit of socio-environmental sustainability and the need to address social inequality, which directly influence entrepreneurship. While these challenges are often seen as obstacles to business profitability, sustainable entrepreneurship emerges as a relevant strategic approach, enabling organizations to adapt and thrive in the era of disruption. In exploring this issue, the following research question arises: How can sustainable entrepreneurship become a facilitating issue for the global leaders in a disruptive environment? It is a descriptive, bibliographic research, qualitative approach, and secondary data source collection. The main research results point that sustainable entrepreneurship: (i) emphasizes innovation and the pursuit of creative solutions for social and environmental challenges; (ii) can provide direct benefits to society, such as improved working conditions and promotion of social equity; (iii) can offer a competitive advantage to entrepreneurs. Thus, this study contributes to understanding the strategies that entrepreneurs can adopt to face challenges and promote sustainable competitiveness.

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I. INTRODUCTION

Since the 18th century, capitalism has been the dominant economic system at a global level, characterized by the search for profit and the guarantee of the right to free competition, which has been pursued in the context of international trade (Hart; Milstein, 2003, p.65). According to this thinking,

technological innovation is stimulated to create an environment in which companies are motivated to compete, differentiate themselves and meet the constantly evolving needs of consumers (Calazans; Silva, 2016, p. 117).

Thus, the business scenario has been marked by accelerated transformations, driven by rapid technological evolution, changes in consumption patterns, and the growing interconnection of global markets (Hart; Milstein, 2003). However, along with these developments, new challenges have arisen as a result of the intense exploitation of natural resources. This scenario has contributed to an exponential increase in socio-economic disparity and has given rise to environmental problems (Hart; Milstein, 2003).

New concerns and demands, such as sustainable growth, ESG (environmental, social equity, and governance) permeate the entrepreneur's universe, generating more responsibilities and duties towards society (Andrade; Russo, 2023).

According to Crisóstomo and Gomes (2018, p. 773) "research in strategy has proposed that there is a set of new pressures on companies, regarding their actions in the context of the community and not only as creators of wealth for their shareholders". This scenario is still seen by many companies as an obstacle to their profitability (Souza; Francisco, 2023, p. 2). However, sustainable practices mean a more efficient use of inputs and a reduction of waste, ultimately resulting in an increase in the revenue generated by the company (Porter; Linde, 1995 apud Calazans; Silva, 2016, p. 119, Hart; Milstein, 2003, p. 70).

In this scenario, sustainable entrepreneurship has emerged as an extremely relevant strategic approach for organizations that want to adapt and flourish in the age of disruption. According to Calazans and Silva (2016) "to be sustainable is no longer an option, but a requirement for perpetuity in the face of governmental, legal, social and market demands" (Barbieri et al., 2010 apud Calazans; Silva, 2016, p. 117). By adopting this approach, companies can translate their actions into generating well-being and positive advantages for both society as a whole and the local community, obtaining additional benefits that reverberate in their own sphere (Porter; Kramer, 2007, p. 8). These benefits include building a good reputation, attracting skilled labor, differentiating products in the

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market, and extracting premium prices (Pessoa et al., 2009, p. 82).

However, the relevance of sustainable entrepreneurship in the era of disruption transcends economic aspects (Cohen; Smith; Mitchell, 2008; Cohen; Winn, 2007; Shepherd; Patzelt, 2011 apud Orsiolli; Nobre, 2015). The search for sustainable competitiveness demands from organizations the ability to reconcile their growth and profitability objectives with social and environmental responsibility. Global entrepreneurs can create business models that not only generate profit, but also contribute to preserving the environment, promote social inclusion and encourage sustainable development.

Companies like Tesla, Amazon, and Spotify are emblematic examples of how disruption can redefine entire sectors, transforming the way people consume products and services. However, it is important to highlight that these companies represent only a small fraction of the businesses that possess the capital and resources necessary to implement sustainable practices. While these companies stand out for their innovations and significant impact, many others, particularly startups, face significant challenges in adopting socioeconomically sustainable business models (Souza; Francisco, 2023, p. 2). In fact, the majority of startups, despite being recognized for driving innovation and creating jobs, struggle to balance rapid growth with the commitment to sustainability, especially when it comes to integrating ESG practices into their operations. According to recent data, only a small percentage of startups have successfully implemented ESG initiatives across all areas, underscoring the need for greater efforts to encourage the adoption of sustainable and responsible practices. This difficult situation, characterized by intense competition and rapid changes, presents a significant opportunity for entrepreneurship and the emergence of new companies that can address both economic growth and sustainability challenges, particularly in the evolving startup ecosystem.

Therefore, it becomes extremely important to explore the concept of sustainable entrepreneurship, which according to WCED (1987, p. 54) cited by Orsiolli and Nobre (2015, p. 504) is "one that which meets the needs of the present without compromising the ability of future generations to meet their own needs". By adopting a sustainable entrepreneurial approach, companies can stand out by offering innovative solutions to social and environmental problems, while achieving profitability and economic viability (Pessoa et al., 2009, p. 82). Thus, global entrepreneurship in the age of disruption not only drives economic development, but also paves the way for building a more sustainable and socially responsible future.

In this situation, this article aims to analyze the challenges and opportunities faced by executives in

global entrepreneurship in the age of disruption, considering the technological, motivational and social transformations that influence the business environment; identify the emerging opportunities that arise for global entrepreneurs in an era marked by constant changes, such as new business models, technological innovations and market trends; explore the path to achieving sustainable competitiveness in the context of global entrepreneurship in the age of disruption, considering the strategies and practices adopted by successful entrepreneurs.

Through a literature review and analysis of case studies, the aim is to understand the strategies adopted by global companies and entrepreneurs to face challenges, seize opportunities and promote sustainable competitiveness in the current global economic situation.

With this comprehensive analysis, it is hoped to offer valuable insights into how entrepreneurs can face the present challenges and exploit emerging opportunities strategically, adapting to the constantly evolving environment and achieving lasting success on the global business stage in disruptive times.

a) *The Age of Disruption and Its Impacts on Global Entrepreneurship*

According to Heraclitus, a pre-Socratic Greek philosopher, the notion of flux and constant change is a fundamental essence of reality. In this sense, as society evolves and faces significant transformations, new concerns emerge, gaining prominence and directly influencing the sphere of entrepreneurship (Calazans; Silva, 2016, p. 117). Thus, the environmental degradations that have occurred in recent years have given ways to new issues (Hall; Vrendenburg, 2003 apud Orsiolli; Nobre, 2015, p. 504) such as socio-environmental sustainability and social inequality, which have come to occupy a central place in discussions and practices entrepreneurial, reflecting a more comprehensive understanding of contemporary challenges (Hart; Milstein, 2003).

Likewise, entrepreneurship is called upon to respond to these changes, adapting and seeking innovative solutions that consider both economic, social and environmental impacts, with the aim of promoting sustainable development and equity.

In view of this, studies highlight the importance of creating values between companies and their stakeholders as a necessary condition for business sustainability (Schlange, 2009 apud Orsiolli; Nobre, 2015, p. 504).

Thus, stakeholders, who consist of people or groups of people who can be affected by or affect a company's activities (Freeman, 1984 apud Orsiolli; Nobre, 2015, p. 508), have their roles accentuated in the entrepreneurial ecosystem (Correia; Pereira, 2023, p. 1-2), as the global connectivity provided by the internet

allows interconnect between them and enables a great exchange of information, perceptions and demands between the various actors involved (Hart; Milstein, 2003, p. 68).

Consumers are increasingly connected and informed about companies' business practices and social and environmental impacts (Hart; Milstein, 2003, p. 68). They have access to a constant flow of information and can express their opinions and preferences quickly and widely. This puts additional pressure on companies to meet the expectations and demands of consumers, who are looking for brands lined with their values and concerns.

Furthermore, there are other essential elements in the context of entrepreneurship that exert significant influence. For example, the significant consumption of raw materials stands out, driven by industrial growth. The emergence of new technologies is another determining factor, as they make it possible to reduce the negative impacts caused by humans on the environment (Hart; Milstein, 2003, p. 68-69).

Regardless, companies are encouraged to adopt sustainable policies, ethical practices and contributions to the community (Ethos, 2007 apud Pessoa et al., 2009, p. 82), in addition to disclosing sustainability reports to stakeholders (Kolk, 2008, Cormier; Magnan, 2007 apud Duda et al. 2022, p. 3). This stance not only meets the growing demands of consumers, but also strengthens the companies' reputation and their relationship of trust with stakeholders. Customers are increasingly aware of their power of choice and tend to engage with companies that share their values and have a positive impact on society (Hart; Milstein, 2003, p. 72). They look for brands that demonstrate commitment to social-environmental sustainability, reducing inequalities and creating value beyond the economic sphere (Hart; Milstein, 2003, p. 71). Therefore, companies that manage to position themselves in an ethical and sustainable way have a significant competitive advantage, gaining customer loyalty and establishing long-lasting relationships.

In short, the age of disruption brings with it an imperative for companies to compete sustainably. This implies adopting business practices that consider not only maximizing profits, but also the social and environmental impacts of their operations. Companies that can understand and respond to these changes, seeking innovative and sustainable solutions, are better placed to achieve long-term success and contribute to a more equitable and sustainable future.

Integrating sustainability into business strategies can lead to cost reduction, resource optimization, product and service innovation and greater competitive advantage

b) *The Age of Disruption as an Opportunity for the Global Entrepreneur: Strategies for Generating Profit and Stability*

For the creative director of Disruptive.MBA and CNN Brasil columnist, Luiz Candreva (2022), "the future belongs to those who know how to navigate chaos and still be comfortable in it, the past belonged to those who knew how to navigate chaos and eliminate it ". It is understood through this thought that, while for some the disruption scenario may be a threat, for others it is an opportunity. As a consequence of innovation, companies tend to change the way they relate to the environment and people, thus opening doors for entrepreneurs in search of new opportunities. However, it is noted that some companies still insist on maintaining their old business model, and, as a result, they become outdated.

According to a survey by the Economist Intelligence Unit (2017), there is only one chance for companies that want to grow in today's global environment: embrace disruption. In one of the editions of The Economist Disrupters program (2016), the EIU's executive report questioned 1,000 senior executives in three global markets about how the age of disruption is transforming their businesses, as well as the opportunities it brings. The results of the survey show that six out of ten executives believe that their top management considers disruption to be a threat rather than an opportunity to take advantage of. This shows that, despite the countless profits that disruption promises to bring, most companies are afraid of it. Global entrepreneurs should view this disruptive era not as a source of fear, but as an opportunity to ensure their success. Rather than passively waiting to see what happens, it is essential that they understand disruption as a means of leveraging their growth in the global entrepreneurial environment. By adopting this proactive and visionary mindset, entrepreneurs can find new openings to innovate, adapt quickly to technological changes and market demands, and identify promising niches to exploit. Disruption can be the catalyst for the implementation of new business models, the search for creative solutions and competitive differentiation.

So, rather than retreating from the challenges posed by change, entrepreneurs should embrace disruption as an opportunity to reinvent themselves, learn from ongoing transformations and find ways to create value in the ever-changing business landscape. From this perspective, understanding disruption as a path to growth and success is fundamental if global entrepreneurs are to thrive and stand out amid the dynamics of modern global entrepreneurship. The ability to embrace change and innovate becomes a crucial differentiator for those seeking to consolidate and thrive in the age of disruption in global entrepreneurship.

According to digital media expert Jay Samit (2019), "the way of thinking must be changed to a model

focused on innovation and creativity". This is the disruptive thinking used to generate personal transformation and new opportunities for entrepreneurship (Samit, 2019). In a meeting with (INSAPER), a non-profit institution dedicated to teaching and research, the author of the book *Be Disruptive: Master Personal Transformation, Seize Opportunities and Thrive in an Age of Incessant Innovation*, published in (2015), warned: Only those who are afraid of failure are not disruptive. He uses the case of Blockbuster as an example. The DVD rental company that previously dominated the market, but which disappeared with the arrival of streaming services (online subscription services for transmitting films, series and documentaries) because it insisted on its outdated business model. With this example, it can be concluded that in order to stand out in a disruptive world, it is necessary to change and innovate alongside it, because the security that many cling to is illusory (Samit, 2019). Samit's (2019) perspective, which emphasizes that failures should not be seen as problematic, but rather as steps towards success, gains prominence. A clear illustration of this approach is YouTube, an audiovisual content platform that serves as a vivid example. If its founders had not adopted a pregnant woman, they could have given up prematurely. In the first attempt, when the original idea was to create a dating website, which was unsuccessful, perseverance proved to be essential (Samit, 2019), reinforcing the need to be creative and persistent in an era full of technological and digital innovations.

This demonstrates how the ability to embrace change and seek new ways to stand out is fundamental to success amid the constant disruptions in the business environment. The current scenario demands flexibility, creativity and resilience from entrepreneurs, and the YouTube story highlights how the willingness to face challenges and learn from failures can lead to lasting success in a world in constant transformation.

However, in addition to the components mentioned above, it is also necessary to adopt specific strategies to obtain competitive advantages, generate profits and prosper in this environment of constant change. According to Andrews (1987), ethics is an extremely important issue when it comes to making strategic decisions, since strategists and entrepreneurs have the duty to take society's expectations into account in their choices, this is because some alternatives they may prove to be more attractive when the public good is considered (Andrews, 1987 apud Pessoa et al., 2009). From the same perspective, Cadbury (1987), cited by Kuroski (2002), highlights that a company's largest decision system is the social system, which, if contradicted, can result in negative consequences on the economic level itself (Cadbury, 1987 apud Kuroski, 2002). In this way, Andrews (1987) highlights four significant tools in strategic formulation and decision-

making, namely: market opportunity, corporate resources and competencies, values and aspirations and understanding of obligations towards society and shareholders.

As can be seen, strategic decision-making in a company is constantly linked to the public good. Husted and Salazar (2005) emphasize that companies must put social responsibility strategies into practice, aiming to improve both economic and social performance. The aforementioned authors developed research, analyzing firms with the objective of maximizing profit and social performance. Regarding the conclusions of this study, it is reinforced that companies can add value and acquire competitive advantages through their socially responsible actions, while acting strategically (Pessoa et al., 2009).

As an example of what was said above, the case of Nike stands out. Previously just a company that produced and sold shoes, today it goes further, providing the use of technology for wellness, ensuring stability in the disruptive environment while promoting social responsibility. Therefore, it is clear that a key strategy for the global executive is to stay up to date with the latest trends and emerging technologies. It is necessary to closely monitor technological advances, as well as artificial intelligence, internet of things (IoT), blockchain, augmented reality, among others, in addition to knowing how to identify how these innovations can be inserted into your business. It is also necessary to be aware of changes in consumer behavior, thus ensuring social well-being in your strategic decision-making, and, in this way, making it clear to identify opportunities for your business ahead of your competitors (Bonilha, 2023).

The director of Corporate Risks at MDS Brasil, Leandro Bonilha (2023), cites artificial intelligence as one of the main trends for the insurance market, being used for data analysis and making more assertive decisions. In this way, it becomes possible to identify customer behavior patterns, predict risks, in addition to offering personalized products and services according to consumer needs (Bonilha, 2023). Another example mentioned is the use of digital platforms to contract insurance in a more simplified and agile way. With the help of digital changes, consumers can hire services at any time or place, eliminating the need to travel. This possibility guarantees profits for the company, as it reduces operational costs, while bringing more comfort and practicality to the customer (Bonilha, 2023).

In summary, strategic investment encompasses social responsibility and positive advantages for the target audience, as well as resulting in additional profits for the company, even more so in a disruptive environment, with new possibilities and opportunities made available by digital transformation and technological innovations. A conglomerate of ethereal resources, such as good corporate governance, the

efficient execution of innovative social projects and ethical management in business can become differentiators for the company and sources of competitive advantages (Pessoa; Nascimento; Neves; Filho, 2009). These previously mentioned elements, added to the innovation and creativity required of global entrepreneurs in an era full of rapid technological changes, can generate great value and stability for your company in a disruptive environment, allowing you to navigate through the chaos created by disruption without losing your convenience.

c) *The Strategic Role of ESG in Global Entrepreneurship*

For Elkington (1994), quoted by Hart and Milstein (2004), a sustainable company is one that contributes to sustainable development, generating economic, social and environmental benefits, known as the three pillars of sustainability. In this context, the ESG (Environmental, Social and Governance) approach has stood out as an effective framework for guiding sustainable competitiveness strategies. According to Câmara (2023):

Institutions understand that in an increasingly globalized, interconnected and competitive world, environmental, social and corporate governance issues are an essential part of the quality management needed for companies to be truly competitive (p. 100).

The adoption of ESG practices reflects the commitment of organizations to face contemporary challenges, meeting the expectations of stakeholders and ensuring long-term business sustainability.

Esterhuizen, Rooyen and D'haese (2008) understand competitiveness as the ability of a sector, industry or firm to compete successfully, seeking sustainable growth and thus obtaining, at the lowest opportunity cost, greater returns on the resources employed (Esterhuizen et al., 2008 apud Soares; Petrini, 2013). With regard to sustainability, the term is understood by Elkington (1998) as the performance of production processes in the business world, based on economic, environmental and social results, referred to by the author as the "triple bottom line" (TBL) (Elkington, 1998 apud Santos et al., 2018). In this sense, sustainable competitiveness can be defined as the ability of companies to achieve stable economic performance while addressing relevant social and environmental issues.

In this context, it is essential to emphasize that companies that adopt sustainable competitiveness gain a number of significant advantages. As well as attracting investment, they gain the trust of consumers, conquer new markets and, at the same time, contribute to building a fairer and more sustainable society. "It is notable that companies with outstanding performance in these areas are able to increase shareholder value through adequate risk management, anticipation of

regulations and access to new markets" (THE GLOBAL COMPACT, 2004, p. i apud Câmara, 2023, p. 100).

As previously started, in a disruptive environment, companies and entrepreneurs have a responsibility to lead change and adopt innovative and responsible strategies. ESG has emerged as an essential tool to guide the actions of companies and entrepreneurs in this context (Câmara, 2023, p. 100). The terms Environmental, Social and Governance, which together form the acronym ESG, are sensitive issues for the contemporary community, as each of them presents a problem to be faced by society (Pereira, 2022, p. 44). Thus, Pereira (2022) emphasizes:

The acronym ESG alludes to the encouragement given to companies to take on and adopt measures that generate increasingly positive social, environmental and governance impacts. These encouragements are translated into the application of internal and external measures that demonstrate to the public and the market the importance given to the development of a more sustainable system. (p. 43)

Therefore, we can see that it is essential for a company, in the midst of the age of disruption, to adopt ESG as a strategy that is not only innovative, but also responsible, with a view to sustainable competitiveness and the well-being of society. In the environmental pillar, adopting sustainable practices and reducing negative impacts on the environment are crucial. In the social area, inclusion, diversity and the well-being of employees and communities must be prioritized. As for corporate governance, transparency, ethics and good management practices are essential to ensure responsible and efficient management.

Furthermore, incorporating ESG into a sustainable competitiveness strategy offers numerous advantages to companies and entrepreneurs. According to Hall (2017), a company's continued profitability is no longer restricted solely to its internal strategies, but also to how it can give back to society and the environment, generating benefits for both. In this sense, by adopting ESG, the company contributes to attracting new investors with interests aligned with sustainability, as well as improving its image in the eyes of society and stakeholders. As Jiao (2010), cited by Martins and Cunha (2022), observed

Each stakeholder has a different importance to senior management (governance). In addition, improving employee welfare (social) and environmental issues (environmental) can increase the company's market value. (p. 3)

Hence, *it appears that the variety of stakeholders involved in the company's operations, in addition to interactions with the community, governance and the ecosystem, can lead to solid financial performance, as signaled by Brooks and Oikonomou (2018). The emphasis on environmental, social and governance practices strengthens the company's*



resilience in the face of socio-environmental challenges, as well as resulting in greater operational efficiency and risk reduction.

The Brazilian telephone company (Vivo) stands out as a clear example of a company that has adopted ESG as an effective framework, achieving success and competitive advantages in the midst of the age of disruption. Recognized for its social projects and contributions to sustainable development, the company addressed the term in its official statements in 2020, demonstrating its intentions to use ESG as an essential tool to guide its strategic and financial vision, thus making its shareholders, investment funds, market analysts and stakeholders perceive this attitude with the recognition that investment in sustainability is extremely important for the business (Telefônica, n.d. apud Silva, 2022). The Telefônica company created long-term goals that seek to improve the consumer experience, in addition to aiming for sustainability in the value chain, highlighting the importance of ESG as a form of engagement with consumers and recognition in the market (Silva, 2022). In this way, Vivo stands out by relating its sector of activity with social bias, resulting in a strong performance focused on digital transformation, as well as standing out in its governance by increasing incentives that relate the remuneration of leadership positions to ESG goals. To be achieved, making the company predominantly inclined towards ethical transparency (Silva, 2022).

From a similar standpoint, ESG also acts as a fundamental guide for continuous innovation in companies. It is observed that, by adopting sustainable practices, companies are encouraged to constantly seek innovative solutions that are environmentally and socially responsible, boosting creativity and differentiation in the market amid a disruptive environment.

Nonetheless, despite advances, there are still challenges to be faced to promote sustainable competitiveness. Collaboration between companies and sectors is essential to face global sustainability challenges. It is through partnerships that companies can share knowledge, resources and best practices, expanding the positive impact of their initiatives and addressing complex issues that go beyond organizational boundaries.

In short, ESG has proven to be a valuable strategic concept for sustainable competitiveness in global entrepreneurship in the era of disruption. By embracing the environmental, social and governance pillars, companies have the opportunity to not only thrive in business, but also to make a difference in the world. Integrating ESG into business strategy not only strengthens competitive position, but also positions companies as agents of positive change in society, contributing to a more sustainable and equitable future.

d) *Competing Sustainably in the Age of Disruption: Real Examples of Business Strategies*

High-profile companies have demonstrated throughout history that it is possible to act sustainably, bringing significant benefits to the community while generating profits for shareholders (Hart; Milstein, 2003). These companies are outstanding examples of how adopting sustainable practices can result in competitive advantages and environmental benefits.

A outstanding example is the action of the Toyota company, which wage a significant effort to develop and introduce a hybrid vehicle to the market, representing a pioneering innovation in the automobile sector at the time (Porter; Kramer, 2007, p. 12). This strategic initiative allowed Toyota to gain competitive advantages through product differentiation and anticipation of growing environmental concerns. A notable example is the action of the Toyota company, which undertook a significant effort to develop and introduce a hybrid vehicle to the market, representing a pioneering innovation in the automobile sector at the time (Porter; Kramer, 2007, p. 12). This strategic initiative allowed Toyota to gain competitive advantages through product differentiation and anticipation of growing environmental concerns. According to Porter and Kramer (2007, p. 12), thanks to this vehicle model, "Toyota has created a unique position with customers and is well on the way to establishing its technology as the world standard".

Furthermore, the Nike company, faced with the threat of losing its market share due to environmentally damaging practices in the 1990s, adopted a strategic approach and implemented programs such as global monitoring of all its contractors (Hart; Milstein, 2003, p. 72). These actions aimed to guarantee fair working conditions and environmentally responsible practices in its supply chain. This change in positioning and adoption of more sustainable practices contributed to the company's reputation, strengthening its image as a socially and environmentally responsible organization.

Finally, it is worth highlighting the cases of Urbi, a Mexican construction company, Crédit Agricole, France's largest bank (Porter; Kramer, 2007), Britsch Petroleum, a global energy company, Shell, Honda, General Electric, Honeywell and United Technologies (Hart; Milstein). These companies use strategies that have been aligned with society's demands to strengthen the company's competitiveness (Porter; Kramer, 2007, p. 12). Thus, these examples show that by listening to and heeding society's voice regarding pollution concerns, changes are felt immediately and a better relationship with society and brand reputation is built (Hart; Milstein, 2003, p. 72).

These real-life examples all emphasize the importance of pursuing competitiveness in a sustainable way, incorporating environmental and social considera-

tions into business strategies. Adopting sustainable practices allows companies to create shared value, benefiting both society as a whole and their own shareholders. In addition, these initiatives can drive innovation, differentiate products and services, attract qualified talent and achieve a positive reputation, providing lasting competitive advantages.

In the face of the challenges posed by the age of disruption, competing sustainably is not only a necessity, but also an opportunity for companies to stand out and achieve competitive advantage. The examples of companies presented highlight the importance of business strategies that integrate innovation, social and environmental responsibility, providing significant benefits for both organizations and society in general. By adopting these practices, companies can contribute to building a more sustainable and resilient future.

II. METHODOLOGY

The methodology adopted in this study systematically investigates global entrepreneurship in the age of disruption, emphasizing its associated challenges, emerging opportunities, and the trajectory toward sustainable competitiveness. This research follows a bibliographic approach, relying on a systematic review and analysis of secondary sources available in open-access academic repositories. This method was chosen due to its capacity to synthesize existing knowledge, identify theoretical trends, and provide a critical foundation for understanding sustainable entrepreneurship within the context of disruptive changes.

According to Fachin (2017), bibliographic research serves as a fundamental pillar for any study, offering essential theoretical support and guiding further investigation. Even when integrated with other methodologies, such as field, laboratory, or documentary research, it remains valuable both as an independent study and as a preparatory phase for more extensive inquiries. This approach facilitates an in-depth examination of academic debates while also recognizing the inherent limitation of depending solely on pre-existing literature instead of primary empirical data.

To achieve the research objectives, a qualitative approach was employed, emphasizing an interpretative analysis of theoretical frameworks, empirical studies, and relevant literature. The qualitative nature of this study aligns with the perspective of Casarin and Casarin (2012), who stated that qualitative research aims to describe a given phenomenon, characterize its occurrence, and relate it to broader issues. This study adopted a thematic analysis approach to systematically identify, categorize, and interpret key trends, recurring themes, and conceptual discussions on sustainable

entrepreneurship in the age of disruption. This process involved coding and organizing relevant literature to discern patterns and theoretical insights that contribute to the field.

The research process began with a thorough literature review to identify relevant studies, scientific articles, and reports related to global entrepreneurship amid disruptive transformations. The sources were selected based on specific criteria, including relevance to the topic, publication in reputable academic journals or conferences, and methodological rigor. Data was collected through extensive searches in academic databases such as CAPES and Google Scholar, ensuring access to peer-reviewed and high-impact studies.

To strengthen the methodological rigor, clear selection criteria were established for secondary sources. Articles were chosen based on their credibility, relevance, and publication in indexed journals. Furthermore, contemporary digital tools, such as AI-assisted literature review platforms and systematic review databases, were utilized to enhance the efficiency, accuracy, and depth of the review process, ensuring a more comprehensive analysis of existing research.

Recognizing the limitations of bibliographic research, this study acknowledges the potential constraints of relying solely on secondary data, such as the inability to capture firsthand insights, the risk of outdated or biased information, and the challenge of synthesizing diverse perspectives without direct empirical validation. While this approach enables a broad theoretical exploration, it does not include primary empirical data, which may limit the ability to capture real-time entrepreneurial challenges in the current business landscape. However, this limitation is mitigated by the systematic and critical analysis of diverse perspectives from multiple sources.

In conclusion, the methodology employed in this research provided a structured and in-depth examination of sustainable entrepreneurship in the age of disruption. By utilizing a qualitative and bibliographic approach, this study contributed to the academic and practical understanding of the subject, highlighting key challenges and opportunities within global entrepreneurship.

III. CONCLUSION

This article examined sustainable entrepreneurship and its relevance in the age of disruption, where continuous transformations reshape industries and markets. Sustainable entrepreneurship provides clear advantages, such as economic resilience, social equity, and environmental responsibility, positioning it as an essential approach for long-term business sustainability.

A central benefit of sustainable entrepreneurship is its ability to balance economic growth with social and environmental commitments. Companies that embed sustainability into their operations enhance efficiency, minimize ecological footprints, and strengthen their relationships with stakeholders. Furthermore, sustainable business models drive innovation and offer competitive advantages. However, despite these merits, various challenges persist, including financial barriers, regulatory ambiguities, and resistance from traditional sectors. Overcoming these obstacles demands strategic actions, such as policy incentives, broader access to sustainable financing, and capacity-building initiatives to encourage the adoption of responsible business practices.

This study also analyzed practical cases of sustainable entrepreneurship. Findings indicate that businesses thriving in sustainability commonly implement circular economy principles, adhere to ESG (Environmental, Social, and Governance) criteria, and leverage AI-based solutions for efficient resource management. These cases underscore the necessity of adaptability, as sustainable entrepreneurship requires ongoing innovation in response to shifting global conditions.

Considering these insights, it is imperative that entrepreneurs, managers, and policymakers actively promote sustainability within business ecosystems. Governments should craft policies that facilitate sustainable entrepreneurship, investors should prioritize funding eco-friendly innovations, and businesses must integrate sustainability at the core of their strategies. Additionally, fostering cross-sector collaboration between government bodies, academic institutions, and industry leaders is crucial for accelerating the shift toward a more sustainable global economy.

This research contributes to the discourse on sustainable entrepreneurship by providing a structured evaluation of its role in disruptive environments. However, limitations exist, particularly regarding the qualitative nature of the study and its reliance on secondary data sources. Future research should employ empirical methodologies, including case studies and field research, to gain a more nuanced understanding of sustainable business dynamics. Potential research avenues include the influence of digital transformation on sustainable enterprises, the role of regional policies in fostering sustainability, and methods to assess the long-term impact of ESG-driven strategies.

Ultimately, sustainable entrepreneurship emerges as a transformative force, fostering innovation, competitive resilience, and inclusive economic growth. As industries continue to face disruptions, businesses that proactively embrace sustainability will be better positioned to navigate uncertainties while contributing to a more responsible and thriving global economy.

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Understanding Global Governance through Public Action: Neo-Corporatism and Internationalization of Public Policies as its Bases

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Keywords: *global governance, pluralism, neo-corporativism, internalization, public policies.*

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Understanding Global Governance through Public Action: Neo-Corporatism and Internationalization of Public Policies as its Bases

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Abstract- This scientific paper explores global governance as a political process shaped by the increasing complexity of social relations in the 20th century, intensified by technological advances in transport and communication. The study aims to analyze how pluralism and neocorporatism influence the structuring of global governance and impact the formulation, implementation, and evaluation of public policies. The paper identifies two main bases for understanding global governance. The first is neocorporatism, which arises from the State's need to mediate the interests of diverse groups in a context of increasing social complexity. Neocorporatism is presented as an evolution of corporatism, adapted to democratic environments and characterized by decentralization and flexibility. The second base is the internationalization of social relations, driven by the intensification of interactions between States and the creation of international organizations. The study demonstrates that global governance is structured from the intersection of these two axes. The analysis reveals that public policies are influenced not only by interest disputes on a national scale but also by pressures and guidelines originating from the internationalization of these discussions. The paper concludes that understanding contemporary public policies requires recognizing that the State's activity of mediating interests occurs in a globalized neocorporatist scenario, which internalizes the discussion of public policies. Future research on public policy subsystems should consider both neocorporatist elements and the influences of international organizations, whether of a technical content or political pressure in a given direction.

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1. INTRODUCTION

The intensification of social relations that occurred in the 20th century, especially due to the significant technological development in the transport and communications sectors, led to a deepening of the complexity of the interests of individuals and groups. In

this sense, enormous efforts have been made by state structures, whether Western or Eastern, to mitigate or harmonize potential or existing conflicts that arise in this scenario. This, in turn, also reveals, in the same period, an increase in its institutionalization in two senses: on the one hand, contemplating the informal and formal relations of the State with individuals and groups; on the other hand, contemplating the internationalization of relations between individuals and groups, a phenomenon that demands, in turn, the improvement of relations between States themselves. Regarding the first sense, it is important to note that the recognition of the existence of different interest groups on the same topic demands a more refined understanding of the State's performance in its mediation activity, causing the corporatist perspective to be improved to a neo-corporatist perspective, based on the influences of pluralist approaches. Regarding the second, in parallel to the first, it is essential not to lose sight of the fact that social relations are now occurring on a scale that is no longer limited to national borders, so that it is impossible to ignore discussions on the various topics of interest to the most varied groups, also in the international sphere.

The actions of individuals and interest groups, in turn, have effects on the structure and action of the State itself, so it is necessary to better understand these two aspects of the current scenario so that it is possible to highlight the conditions under which the mediation activities carried out by the State take place, as well as to highlight the result of the actions of the different interest groups that dispute power over the mediation environment itself in order to establish or change public policies that better accommodate their interests.

The global governance is a political model and process that has ended up being established in this context, which is why the objective of this paper is to highlight pluralism as an environment for the emergence of neocorporatism and the internationalization of social relations. This, to show how these two elements can be useful in enabling an understanding of global governance structuring and the characteristics of decentralization and diffusion of the arenas of political dispute that hinder attempts at a systemic view of this global governance.

To this end, it will firstly be studied the pluralism and corporatism in light of the mediation activity

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exercised by the State. Next, the first part of the focus of this work, the neocorporatism will be presented as a form of organization and understanding of the relationship between the State and individuals and groups. Thirdly, the second of the two-partied focus will be the understanding of these relationships in the current internationalized environment, in which relationships between individuals and groups are essentially established through state structures. After that, we will present and characterize the arrangement of global governance that is formed from these two axes and highlight its influence on the formulation, implementation and evaluation of public policies. Both perspectives reveal a significant importance for the study of public policies today, an aspect that motivates this study. Finally, it will be concluded that public policies are products not only of disputes of interest on a national scale in each State, but also of the influences originating from the products of the internationalization of these discussions and groups of interest themselves, and that it is important to research how this occurs in different policies.

II. STATE MEDIATION BETWEEN INDIVIDUAL AND GROUP INTERESTS FOR THE CONSENSUAL DELINEATION OF PUBLIC INTEREST: PLURALISM

Much progress has been made in the reflection about and understanding of the collective will during the 20th century and on what it represents, and this has been recorded in the structuring elements of the State. Gradually, the idea of a homogeneous collective will has given way to the understanding that it is constituted by a consensus and that there are a series of different wills that cannot be disrespected, revealing a pluralist logic in which multiple representations of groups coexist.

To understand this progressive phenomenon, it is necessary to start by identifying the elements of the collective will in the materialization of the State and, subsequently, demonstrate the presence of elements in the materialization of the State, also of the pluralist conception of society.

One of the most important solutions in defense of the collective will is the collectivization of control over State property. Since the Renaissance movement, in the historical moment of the Enlightenment, the discussion about the republic has arisen – a term composed of the Latin roots *res*, *thing*, and *publica*, of the people (LAFER, 1989). This is the theme of an important work of the time, written by the Frenchman Jean Bodin (1530-1596), *Les six livres de la Republique* (1576).

Characterizing the republic as a congregation of family or collegiate groups under a single and same legitimate and sovereign command, he recognizes that not only the grouping around common interests is sufficient to characterize a republic, but also the sharing

of the same laws is necessary. Thus, citizenship begins to be based not on privileges, but on the mutual recognition of submission before the same command (BARROS, 1996).

The republican institution is an essential resource as a means of ensuring that the State's patrimonial forces, held by the people themselves, are used exclusively to carry out their will, unlike what happens in a monarchy, in which a dynasty is sustained by these patrimonial forces. One of the most relevant developments of the republic is the notion of alternating government positions, as an exact consequence of this differentiation in the face of the monarchy (LAFER, 1989). Thus, the republic is an institutional idea that supports democracy, being essential to accommodate the diversity that characterizes the culture of complex societies (MORIN, 2015).

Based on the contributions of Bodin (2012), essentially, it is possible to perceive that the element that consigns the path to be followed in favor of the satisfaction of the collective will is the shared normative, from which today it is identified where the State's economic resources should be allocated. This idea was eventually adopted by Rousseau (1997), who perfected it and presented the concept of popular sovereignty, which constitutes the fundamental premise of democracy, which consolidates the rationalist perspective of contractualism and ends up leaving as a legacy the idea of the Democratic State of Law.

It is important to note, however, an important effect of the liberal revolutions: the establishment of private property and private autonomy as fundamental institutions of the Democratic State of Law. Thus, (a) the State is responsible for the ownership and control of assets only of what is necessary and sufficient to achieve its purposes, and (b) the State should not exploit economic activities for the purpose of profit, of producing wealth, which establishes the notion of taxation – tax collection for the purpose of sustaining the structure of the State – already indicated by Locke (1983).

These limitations imposed on the State establish a necessary relationship between the State and the productive market, whose central theme is the subsistence of the State itself, in parallel with the relationship between the State and its people, whose central theme is the satisfaction of the interests of the collective will. Despite this relational duality, the State must satisfy the collective will.

On the other hand, one of the concerns of democratic political regimes is to ensure that this consensus (an idea associated with the majority) does not become repression of the will of groups (an idea associated with the minority) and individuals. Furthermore, there is an important guarantee that supports this pluralism in operational terms – giving concreteness to Weber's understanding of the

intermediate position of groups between the State and individuals – consisting of the freedom of association for lawful non-military purposes, as set out in the constitutions of Western States.

Considering that it is possible to perceive in the constitutional documents in force in Western States, in general, both the dimension of the formal contractualist abstraction of the political science approach and the dimension of the pluralist substantial concreteness of the sociological approach, for the purposes of the present work, it is necessary, recognizing the importance of the contractualist dimension in political progress, that it allowed, to highlight with its pluralistic lens the multiple representations of groups that developed essentially during the 20th century.

The conversion of the idea of popular sovereignty into an effective democratic political regime supported by a republican institutionalization, materializing political freedom, highlights the importance of beliefs as an essential motivation for directing the conduct of individuals and the groups they form to articulate their public actions. Thus, a basic premise of pluralism is met: the multiplicity of centers of power from the establishment of associations of individuals who share similar interests resulting from similar values.

Given that these groups are not capable of imposing their domination over society due to the multiple origins of power, they begin to try to influence the decision-making process, especially public policies, in order to meet their interests (COSTA, 2007). Thus, it is possible to recognize that these groups of individuals, highlighted by Weber, based on the sharing of common values, as identified by Durkheim, especially when it comes to a discussion of economic impact, in terms of Marx's contribution, form multiple representations of groups that come together for directed and organized action in the political arena.

The fact is that interest groups that act on the reality of certain themes or sectors are the main ones responsible for the circulation of the different beliefs that they hold, each from their own point of view, under the object of their interests. Furthermore, it is important to note that these actors, as a result of their interest, develop a certain qualification to deal with the object of their attention, ending up gaining legitimacy in the eyes of society. The recognition of the practical effect of this qualification, in turn, ends up causing their conversion into true "entrepreneurs" of public policy – of course, influencing it in the direction that suits them, each in their own way (KINGDON, 2006b; LASCOURMES; LE GALÈS, 2012a).

Thus, it is clear that the pluralist theoretical conception unfolds into a pluralist pragmatic action, pointing to the need to understand the articulation of these actors among themselves and with the State in a dimension that is clearly more complex than that seen at the beginning of the 20th century by Weber. It becomes

important, then, to understand not only the way in which groups are formed to defend interests and articulate with the State, but also the way in which they operate to make their beliefs and positions viable in relation to a given topic.

Throughout the evolution of the State as a mediator (MACEDO; ARAÚJO, 2023) between the public interest, the interests of groups and individual interests, the role of mediation has always been marked by opposing positions between those who understand that the State should interfere only minimally in private relations and those who understand that the State should actively interfere in the regulation of private activities.

Despite this substantive antagonism, the first moments of the social contract expressed in the contemporary Western model of the State – around the beginning of the 19th century – were marked by the predominance of an individualistic vision of society, based on the prioritization of the rights of individual freedom (private autonomy) and property, due to the predominance of classical liberal economic thought, from Adam Smith, in these state environments.

In light of Smith's doctrine, the State's participation in society was limited to defense in the external dimension and to guaranteeing public order in the internal dimension. In this way, society was seen as a group of individuals who should be able to stand on their own in the search for the satisfaction of their needs, from a perspective that was therefore essentially individualistic (CARNOY, 1988).

In the mid-20th century, the true absenteeism of the State beyond physical security – externally and internally – progressively gave rise to the formation of an economic-based conflict that, despite Locke's expectations, demonstrated the materialization of the situation feared by Rousseau. This situation led to the resounding failure of the absent State proposed by classical economic liberalism, which served as the ideological basis for individualism.

The contemporary State resulting from the liberal revolutions, then, after a process of legitimization that had already lasted approximately a century, was called upon to more intensely mediate conflicts of interest in the private sector, which were essentially economic in nature and based on the antagonism between the industrial and working classes (BEHRING; BOSCHETTI, 2006; PIANA, 2009).

III. FIRST BASIS FOR THE FORMATION OF GLOBAL GOVERNANCE: NEOCORPORATISM

After a few decades, at the beginning of the 20th century, as one of its intervention tools, the State began to classify individuals into large groups and act as a mediator between the interests of these groups, dealing with the organizations that assumed their



representation (corporations), giving rise to corporatism (VISCARDI, 2018).

In a study of outstanding historical relevance, Schmitter (1974) takes as a basis the questioning of corporatism from its association with the ideologies of authoritarian government regimes, such as fascism and national socialism. He records his perception that, shortly after the defeat of these regimes, the discussion about corporatism disappeared, only to reappear around 30 years later. In view of this fact, he proposes to study the various uses of corporatism, suggest an understanding for it, define two subclasses and, in the end, try to raise some hypotheses about its emergence and persistence.

Quite effectively, he conceptualizes corporatism as:

(...) a system of interest representation in which the constituent units are organized into a limited number of singular, compulsory, noncompetitive, hierarchically ordered and functionally differentiated categories, recognized or licensed (if not created) by the state and granted a deliberate representational monopoly within their respective categories in exchange for observing certain controls on their selection of leaders and articulation of demands and supports. (SCHMITTER, 1974, pp. 93-94)

After offering the concept, the author warns that this is an attempt to develop an ideal type, so he does not believe that there will be any representative entity that presents all its elements in a way that is perfectly identical to the concept. In any case, one usefulness of it remains evident: the opposition to the liberal individualist perspective is materialized in the incidence of strong state control over the actions of these private categories, so that, in this system, they function based on rules established by the State.

For Schmitter (1974), one of the purposes of developing the corporatist "general model", in addition to describing some political systems that interest him, is to offer political analysts an explicit alternative to the paradigm of interest politics that had dominated North American political science until then, pluralism. The author justifies the need to offer this alternative because none of the academics had until then proposed an alternative to contrast the model of representation of association-State relations, affirming the degeneration of pluralism. This degeneration of pluralism as an analytical resource, according to the author, lies in its anachronism in relation to the need to understand and explain industrial societies and the peculiarity of their highly complex policies.

Pluralism can be seen as a response to social inequalities, with a proposal for reinterpreting the common good. Based on Schumpeter (1942), it is possible to recognize that the common good, a central substantive element of collective interest, is not something uniquely determined, whether naturally or forced by reason; on the contrary, the common good has different meanings for different people, whether due

to the heterogeneity of social composition or the asymmetry of interest or access to information among individuals, who can group themselves in multiple ways based on these types of differences (CARNOY, 1988).

In other words, pluralism, by recognizing the differences in conceptions about the world and the things that individuals profess, considers it natural to defend that different interests should be considered when defining public policies and, in this sense, accepts different forms of expression of these interests.

To better clarify the starting point of his proposition in this regard, Schmitter (1974) identifies some basic assumptions common to corporatism and pluralism, which must be recognized by any realistic model of interest politics of the time: (a) the growing importance of formal representative associations; (b) the persistence and expansion of functionally differentiated and potentially conflicting interests; (c) the flourishing role of permanent administrative teams, specialized information, technical expertise and, consequently, of entrenched oligarchists; (d) the declining importance of territorial and party representations; and (e) the secular trend towards the expansion of the scope of public policies and the interpenetration of private and public decision-making arenas.

However, even in the face of these similarities, Schmitter indicates the existence of a striking difference between corporatism and pluralism, consolidating the concept of this as:

(...) a system of interest representation in which the constituent units are organized into an unspecified number of multiple, voluntary, competitive, nonhierarchically ordered and self-determined (as to type or scope of interest) categories which are not specially licensed, recognized, subsidized, created or otherwise controlled in leadership selection or interest articulation by the state and which do not exercise a monopoly of representational activity within their respective categories. (SCHMITTER, 1974, p. 96)

Classifying the two contrasting – but not diametrically opposed – understandings as "syndromes", he notes that this does not in any way mean the exhaustion of possible systems of representation of interests, mentioning trade unionism as a variation of these models, indicating that this perception leads to the consideration that there are subtypes of corporatism. It indicates that the intellectual "excursion" serves to remind us that the process of capturing, organizing and articulating the demands of civil society, as well as receiving, interpreting and applying imperative coordination from the State, is only part of the political process and that it is only possible to understand its purposes and consequences when considered in relation to other political subsystems and the complete configuration of the regime (SCHMITTER, 1974).

With this, Schmitter (1974) addresses a very important issue, namely, that the system of corporatist

representation itself is a tool, a means of improving the democratic exercise of expression of will, which is a product of the increase in social complexity, which demands the recognition of varied positions in the face of different values that generate the situation indicated in item “b” of the third paragraph above.

For the purposes proposed here, Schmitter’s work (1974) still deserves two mentions: one on the role of the State – which has been discussed up to now – and another on the increase in international relations in the post-world war period.

Regarding the first, in his words:

(...) the more the modern state comes to serve as the indispensable and authoritative guarantor of capitalism by expanding its regulative and integrative tasks, the more it finds that it needs the professional expertise, specialized information, prior aggregation of opinion, contractual capability and deferred participatory legitimacy (...) (SCHMITTER, 1974, p. 111)

Regarding the second, based on Manoïlesco, Schmitter (1974) states that there was a complete change in the spectrum of political forces, given that the solidarity that began to be applied between classes in the 19th century would begin to be applied between nations in the 20th century. In this regard, judging by Resolutions No. 3,201/1974, 3,202/1974 and 3,281/1974 of the United Nations General Assembly, he was, at least on a formal level, correct. This aspect of the increase in international relations will be the subject of the next topic.

Analyzing Schmitter’s (1974) reflections on the understanding of corporatism and realizing his recognition that the changes that society was experiencing would, in turn, generate the need for new understandings, we arrive at neocorporatism (VATTA, 1998).

Neocorporatism is a derivation of corporatism resulting from changes in its classic expressions, emerging in the context of changes in the relationship between social movements and the State in the implementation of the administration of wide-ranging public policies. In these cases, the situation requires some form of delegation of responsibility from the State to social representation bodies, which ends up characterizing political co-accountability (SCHMIDT, 2001).

Having emerged as a way of explaining the relations between the State and society in a democratic environment for analyzing public policies, neocorporatism then abandons the pejorative bias of corporatism – due to its association with authoritarian political regimes – and begins to be seen in the most diverse contexts. An important clarification in this sense is that corporatism itself, when taken in itself, as Schmitter (1974) understood it, is not authoritarian; what transformed corporate relations into authoritarian ones was the context, the political regime in which they

developed, and not the *modus operandi*, that is, the content of the actions and not their instruments. Thus, it can be observed that the main difference between corporatism and neocorporatism comes down to the nature of the actors involved – class representation versus thematic representation –, the context of the dispute for power – centralized exercise versus decentralized exercise – and their internal forms of organization – rigid composition versus flexible composition (VISCARDI, 2018). Thus, it is clear that the prefix “neo” fits well with the concepts, as it is a renewal of perspective on the object, especially when discharging the effects of compulsion, without emptying its elementary nature as a tool for representing interests.

In the context of the perception of collective action in public policy arenas during the 1980s, two new modalities of neocorporatism are perceived: mesocorporatism and microcorporatism. The first is characterized by accounting for the action of collective actors not necessarily linked to class associations, therefore acting in a sectoral manner, acting directly in contact with state agencies – at an intermediate level of power – in the search for benefits for their own corporations. The second modality seeks to account for the defense of interests of an actor or a small group of them linked to a local economic dimension. Both are added to macrocorporatism, which focuses on capturing and discussing problems of a national dimension (VISCARDI, 2018). The analysis developed in this work can be clearly situated in the macrocorporatist environment, despite the difficulty for neocorporatist analyses, resulting from the constitutionalization of the singularity of union representations, exceptionally, in the Brazilian political context (MERCANTE, 2015).

Considering that the representations analyzed are not limited to a class perspective, the difficulty is overcome, since in other areas the perception of neocorporatist tendencies for Brazil during the 1990s, for example, ended up being realized in other fields (KELLER, 1995).

The impossibility of global application of this analytical perspective, however, had already been previously mentioned in the literature on European public policy analysis (MENY; THOENIG, 1989). It is important to note that this neo-corporatist perspective emerged in a context, namely the 1980s, of discourses on the limitations of the State that aimed to support a global narrative of the need for greater proximity to the private dimension of society for the joint and jointly responsible undertaking of public policies aimed at meeting the needs of the national population. The role of the State in this scenario then became the establishment of an official arena for sectoral discussion and the role of collective actors became that of ensuring sectoral management based on their position in this official arena maintained by the State (MENY; THOENIG, 1989).



Understanding this environment implies recognizing the importance of focusing on the role and attitudes of the actors and how they use their resources – relational capital, technical knowledge, budget, etc. – in the representation they exercise, within this institutional environment, to meet the expectations of results of their group, in the foreground of their actions, and of the sector, in the background of their actions.

Neocorporatist theory, in the words of Meny and Thoenig:

(...) has allowed us to rediscover the relationships between groups and the State through the complexity of their configuration. While this dimension is absent from pluralist theory and is overlooked by Marxist theory that prefers the concepts of class and capital, it is relegated to the center of research by the neocorporatist school. This reveals the profound inequality that exists within a political society between professional circles, economic sectors, and regions, and the great importance that access to and relationships with the State represent for the actors. This new interest also makes it possible, through the analysis of decision-making structures and collaboration structures, to measure their impact on the content and development of policies and to take into account the voluntarist element that led to their adoption.¹ (MENY; THOENIG, 1989, p. 105)

It is very important to realize that policies are conducted by different actors based on their own choices, which they seek to make prevail by using the resources they have available in the political process, especially the political influence they hold due to their legitimacy in taking center stage in the arenas established by the State and the specialized technical knowledge they have in their professional circles.

In view of this finding, the recognition of the intense relevance of the State is taken as a reference when analyzing its role in mediating relations between groups and individuals, precisely because of the globally projected importance of the public/collective/general interest that justifies its (State) existence, whether to deal with internal matters (national dimension) or external matters (international dimension). In this view of context guided by the sociological approach of the State, with a focus on the materiality of social relations based on the observation of the actions of individuals and groups guided by their values, it is also necessary to address a type of interaction that has received merely occasional attention up until now, that is, the interaction of actors between the national and international spheres.

IV. SECOND BASIS FOR UNDERSTANDING GLOBAL GOVERNANCE: INTERNATIONALIZATION

In view of the analyses made on the State up to this point, it is clear that the attention, from the mid-15th

century to the end of the 20th century, was essentially focused on internal problems and, consequently, on internal political relations and conduct. However, in this same period, there was a gradual but progressive change in interactions between States that deserves attention.

Since the beginning of the Modern Age, States have progressively changed their positions from a warlike misalignment to a negotiating alignment. The historical records of this change (a) begin with the Treaty of Tordesillas (1494), (b) followed by the book "De iure belli ac pacis" (1625) by Hugo Grotius and (c) the Peace of Westphalia (1648) with the Treaties of Münster and Osnabrück, which led to the recognition of the need to maintain permanent diplomatic representations of States among themselves (MELLO, 2000).

This last historical moment is relevant in the sense of the analysis made so far: the decentralization of the representation of States, breaking the monopoly of the Head of State who began to (be able to) delegate to his Plenipotentiaries, made it possible to enrich discussions with the plurality of ideas that, naturally, resulted from this fact. Despite a turbulent period resulting from the disagreement between countries regarding the order of precedence in diplomatic representation, a subject that was insufficiently addressed at the Congress of Vienna (1815), diplomacy allowed the flourishing of arenas for discussion of public policies of an international dimension, bringing repercussions within States both on a global and regional scale (VEIGA; RODRIGUES, 2016).

Among the various impacts caused by the World Wars of the first half of the 20th century, one of them was the intensification of the efforts of States in their relations towards negotiating alignment, as a way of distancing themselves from bellicose misalignment. This special effort, initiated with the Bretton Woods Conferences (1944), is symbolized by the consensus established around the chronological criterion in the order of precedence in diplomatic representation and recorded in art. 16 of the Vienna Convention on Diplomatic Relations of 1961.

As a result, the arenas for discussing the interests of States multiplied and evolved in their institutionalization, going on to include, in addition to "informal" forums between these State representatives, such as the Congress of Vienna itself (19th century), the League or League of Nations (first half of the 20th century), the "G8", the "G20", the "BRICS" (the three from the second half of the 20th century), among others, international organizations created by States through international treaties and endowed with autonomy vis-à-vis their own founding States to conduct some discussions of an international dimension.

The first international organization created in the manner mentioned in the previous paragraph was the

¹ Free translation by the author from the original in French.

United Nations, by the Treaty/Charter of San Francisco (1945). Endowed with international legal personality, its purpose is to discuss the most diverse themes, on a global scale, taking as a premise the sovereign equality of States and guided by the purpose of harmonizing relations between them (§§ of art. 2 of the San Francisco Charter).

After the establishment of the UN as a new paradigm of interstate relations, especially due to the autonomy it began to enjoy due to the fact that it had its own legal personality, other organizations in this same model were created with the most diverse purposes to act on a global or regional scale, on diverse or specific themes, such as the Organization of American States (OAS, Bogotá Treaty/Charter of 1948), the European Economic Community (EEC, Treaty of Rome of 1957), the Organization for Economic Cooperation and Development (OECD, Paris Convention of 1961), the Latin American Integration Association (ALADI, Montevideo Treaty of 1980), the Southern Common Market (Mercosur, Treaty of Asunción of 1991), the World Trade Organization (WTO, Marrakesh Treaty of 1995), the Union of South American Nations (Unasur, Treaty of Brasilia of 2008), among others (MACEDO, 2014).

Given this proliferation in numbers, as well as the impact of these organizations on the international scene, the international community focused on studying this paradigm that removed States from the status of sole subject of international society and began discussing the issue within the scope of the UN International Law Commission as early as the 1950s (TRINDADE, 1981).

After approximately 30 years of discussion, the Vienna Convention on the Law of Treaties between States and International Organizations or between International Organizations of 1986 was reached, which constitutes a true legal status for International Organizations and recognizes its power to conclude international treaties (TRINDADE, 2009).

Two important records are required in this new scenario: (a) the international organizations that are the object of the aforementioned convention are not just any international organizations, but only those that are composed of States based on international treaties that provide them with relative autonomy (art. 2, § 1, "i"); and (b) these organizations are endowed with the capacity to conclude international treaties precisely in the final moments of the Soviet socialist regime, a historical period in which (b.1) from a political point of view, international relations change from a bipolar matrix to a multipolar matrix and the number of States, as in the immediate post-World War II period, increases significantly with the collapse of the Union of Soviet Socialist Republics; and (b.2) from an economic point of view, the discourse on the need to change the economic matrix of the State's role as a mediator of

economic interests begins to establish a narrative of the exhaustion of the interventionist State (provider) and the resulting need to establish the neoliberal State (regulator).

Recognizing and understanding this scenario is important in order to meet the objectives of this work, due to the need to analyze the repercussions of the creation of these organizations on public policies, whether from the point of view of their formulation, implementation or evaluation. This is due to the observation of some effects of the entry of these international interstate organizations on the domestic (state) scenario of the study and management of public policies. The first of these is that, in addition to new arenas, new actors are emerging on this international scene. These organizations, which present different levels of complexity in their composition, are entities with the capacity to act both on the international and national scenarios, producing effects whether in the perception of state realities or in the assessment of compliance with the most diverse commitments assumed by the States in relation to themselves. The second is the issue of equipping these organizations, which are financed by the States themselves and, although they have defined headquarters, their itinerant meetings are very often well received in the most diverse locations around the world. This is in view of the recognition by the States of the benefits of proximity to them in view of the strategic value of the information discussed on these occasions. The third is that, due to their highly relevant position in the international political organization chart and, consequently, the broad effects of their actions, these organizations are usually made up, on a permanent or temporary basis, of the most qualified professionals in each area in their States.

The fourth is the issue of the (supposed) broad legitimacy displayed by these organizations, originating from the fact that their creation and composition already derive from a prior consensus among States and that their actions are based on guidelines that have been widely discussed for years or, often, decades and finally recorded in written documents that are either exhortatory (declarations) or legal commitments (treaties and internal regulations of each organization).

The fifth is the intense articulation that characterizes international organizations from their conception and creation to the daily exercise of their activities, constituting them as an external and independent extension of the mediation role played by States to act in the international dimension. However, given that they do not have their own territory to manage, the impacts of their actions are necessarily directed at influencing national environments. The sixth is the increasingly evident and intense action of international organizations within the State sphere, in addition to their typically international activity, so that the articulation between the international guidelines brought

by these organizations and the arena in which antagonistic sectoral internal interests will incorporate these guidelines into their discussions and narratives is established, as is the case with education, including higher education.

Thus, judging by the impact of the action of the numerous specialized agencies of the United Nations (UNESCO, FAO, UNCTAD, UNICEF, etc.), the World Trade Organization, the International Bank for Reconstruction and Development (World Bank), the Organization for Economic Cooperation and Development, among others, it is clear that international organizations have important repercussions on public policies, especially in the current neo-corporatist scenario, as they accommodate the best efforts to represent the interests of groups in the field of greatest impact for their efforts, that is, the global scenario (SALLES, 2015).

In this sense, when analyzing any object that is part of a central line of action of these international organizations, it is essential to design the analysis in such a way as to contemplate the effect of these organizations. This is, for example, the case of education, which is part of one of the central lines of action of the United Nations (UN), carried out through the United Nations Educational, Scientific and Cultural Organization (UNESCO), and is also mentioned in the policies of funding agencies, such as the World Bank (WB), all of which are brought together under the umbrella of a development discourse led by the Organization for Economic Cooperation and Development (OECD).

There is a first intersection with the line of analysis of the previous section: these international organizations are created as extensions of States and, like the latter, are not an end in themselves nor do they have a will per se. The reason for the existence of these organizations, as well as of the State, is to serve as a means to achieve an end before the community. In this sense, the study of the actions of public authorities – whether acting in national or international environments – is confused with the study of public policies (MENY; THOENIG, 1989).

A second intersection, then, appears: the State, in order to meet its goals before the community, undertakes actions known as public policies. However, the agents that carry out these activities are not exclusively public; they are part of multiple groups that affect the formation of their perceptions and act based on their interests, in all these groups and before the State, based on their individual morals, their values, as, after all, individuals that they are. This allows us to identify two dimensions of plurality, one of which refers to the plurality of the field itself and the other to epistemic plurality (KRITSCH; VENTURA, 2017).

Furthermore, it is therefore important to establish an understanding of this relationship between

the private and state spheres, going beyond the Manichaeism of positions in favor or against the State and beyond the limitations imposed by an approach focused exclusively on the national environment.

The fact is that the State, at this historical moment, holds the status of an institution of outstanding relevance, instrumental and organic, for mediating interests, and that the scope of its structures is not limited to its own borders.

In this sense, the analysis of public policies must include the activity of state and non-state actors in order to demonstrate that the purpose of the State is to mediate the different interests that arise in the community to guarantee the particularities of certain groups, whether tempered amidst the interests of other groups and/or of the community itself as a whole. To this end, analytical tools are needed that can identify the actions of these various actors and their convergence in groups that seek to influence the actions of the State to accommodate their interests.

To properly understand this power struggle, it is necessary to understand the motivation of the actors, which is based on their worldview and, consequently, their interests, considering their influence on the state structure and taking into account that national societies are inserted in an internationalized context with their own actors who also have an interest in influencing the different state realities in favor of their interests, in a system that will be characterized below.

V. UNDERSTANDING GLOBAL GOVERNANCE AND ITS INFLUENCE ON PUBLIC POLICIES

The first aspect necessary for this understanding is the concept of governance: a system that establishes the management of a group and the control of this management in order to promote the satisfaction of the interests of the group as a whole, hindering or preventing misconduct by the direct agents of this management process, as a response to the institutional conflicts addressed in the agency theory (JENSEN; MECKLING, 1976).

An important perspective to be observed in this context of governance is the use of the term corporate governance: it should encompass both private governance (including business organizations and civil society organizations) and public governance (including state organizations, organizations created by the State and partner organizations of the State). This is because the term “corporate” refers to “corporation”, an institution that can be either private or public; This record is important to understand that corporate governance is not synonymous with private governance, although this was the environment in which the first discussions on governance arose (VIEIRA; BARRETO, 2019).

Given that the discussion that is the object of this work focuses on the discussion of public policies, it

is in the field of public governance that the reflection developed here is set. Here is one of its concepts:

Public governance corresponds to the processes through which social actors interact to establish patterns of social coordination, responsible for the structures of social cooperation necessary to solve the complex public problems of the State.² (VIEIRA; BARRETO, 2019, p. 27)

Analyzing this concept, it is possible to see that it presupposes a neo-corporatist context, given that it contemplates a multiplicity of state and non-state actors in the public action from which the different public policies result. Thus, it is possible to clearly perceive the neo-corporatist axis in public governance.

This concept, however, does not expressly contemplate the international scale, as it refers, in its final part, to the “public problems of the State”, with the last term in the singular. It should not be overlooked, however, that States are the main actors in the global governance process (SCHMITZ; ROCHA, 2017).

In view of what was discussed in the second section, it is understood that, due to the impossibility of isolating national contexts from the international scenario, it is essential to consider that State public governance is inserted in a larger context of public governance: the so-called global governance. The expression

(...) refers to a set of relationships between different actors, gathered around non-rigidly defined, overlapping and interconnected themes, seeking to define actions, rules, institutions and procedures. The lens of global governance allows us to encompass other actors and relationships than just those traditionally analyzed – States and formal forums – and avoids assuming the political capacity of a given actor or the weight of a given action.³ (GONÇALVES; INOUE, 2017, p. 54)

Once again, the concept presented in the first part of the cited excerpt does not express the international scale of scope of the approach. The aspect to be highlighted is, therefore, the international scale on which state and non-state public action occurs, which is the second axis of global governance, intersected by the neo-corporatist axis. In view of the final part of the quote, it is important to record a reflection on a condition that precedes the structuring of global governance, so that an informed and critically oriented action of the actors is possible.

The situation mentioned so far needs to be understood in order to allow for an understanding of what is really at stake and, thus, shapes the structuring of this globalized neo-corporatist environment, in which national discussions end up being internationalized by some actors with strength in the world game under the pretext of favoring the collective global interest.

Without intending to outline an outline that goes beyond the need for reflection to understand the object of this work, it is necessary, however, to understand that, although global governance is a consequence of the world-system, the configuration of the international society in which it emerged was established as a product of a historical process. The international order created after the two great world wars that occurred in the first half of the 20th century, structured in the triad – proposed at the Bretton Woods meetings in 1944 – composed of the International Monetary Fund (IMF), the International Bank for Reconstruction and Development (World Bank) and the General Agreement on Tariffs and Trade (GATT), coincides, chronologically, with the political independence of many African and Asian colonies established during the 19th century neocolonialist movement. This did not happen by chance.

With the content of the San Francisco Charter, which created the UN in 1945, it was no longer possible to sustain neocolonialism, but the preservation of the interests of the colonizing countries needed support. What happened, then, was the replacement of political colonization by economic colonization, in which the presence of the former metropolises would continue to be felt in a practically undifferentiated way after political independence. This permanence continues to this day through multinational companies that continue to develop their activities in the national markets of the former colonies and send foreign exchange (a softer term than profit) annually to the headquarters of these multinational companies, maintaining the transfer of wealth that occurred in the colonial period, but in a more sophisticated way. In short, the direct expropriation (by the metropolis) of the colonial period was converted into indirect expropriation (by companies of the metropolis' nationality) and legitimized by this network of commitments and international bodies, whether fully formalized or not.

With this solution, the former North American colony even changed its position, becoming part of the group of metropolises in this world system – which was only possible due to the fact that its colonization process was characterized by comparatively light expropriation. Except for this exceptional case, the positions of most of the different countries remain, despite some variations, unchanged, which allows us to see, in truth, that political colonialism has been replaced by economic colonialism.

In the next three paragraphs, the objective is to raise awareness of the importance of outlining – albeit very superficially – the scenario in which this actually occurs, from a macro perspective. Before beginning the analysis required to promote this understanding, it is essential to note something of utmost importance: just like States, international organizations are composed of agents who are inevitably members of specific groups

² Free translation by the author from the original in Portuguese.

³ Free translation by the author from the original in Portuguese.

and are influenced by their political inclinations, considering the neo-corporatist scenario already presented. Thus, it is essential not to lose sight of the fact that, often, instead of being the product of a healthy democratic consensus, this alleged collective interest is dictated by international organizations dominated by these specific groups that deliberately and intentionally bias international discussions, using as a resource the political use of the technical knowledge they build or have at their disposal, with the aim of directing national policies (GONÇALVES; INOUE, 2017).

Although this is a very delicate topic because it leads directly to the discussion of sovereignty and self-determination of peoples, it is important to make a distinction: when a State assumes an international commitment resulting from an honest and argumentative discussion, its sovereignty, on that occasion, can be seen in its entirety; when a State assumes an international commitment resulting from a political maneuver based on an artificially constructed vision with a purpose other than guaranteeing the collective global interest, this is a serious violation of its sovereignty. The self-determination of peoples implies different population identities and, added to these different natural, economic and cultural conditions, they compose distinct social realities that, for this very reason, demand distinct public policies. It is easy to understand this reflection when we take federalism as an element to make an analogy: federative public policies, at their central and local scales, as well as in their variations, are (or should be) an expression of the identity of the population group from which they arise and for which they are intended. A relevant and difficult-to-refute example of this undue international pressure is the Washington Consensus, a platform of ideas that became part of the international public debate in the second half of the 1980s. Countries that are part of the global "elite" – essentially members of the prestigious Organization for Economic Cooperation and Development (OECD) – developed a recipe for the economic success of undeveloped countries that, in exchange for obtaining benevolent financial aid from the International Monetary Fund (IMF) or the World Bank (WB), compel these countries to assume and implement certain commitments previously unilaterally registered as "guidelines for development" or "lessons for experience" in documents from these same organizations that, in practice, have a cascade effect on their public policies.

The most interesting thing about observing this is to realize that the recipe followed by developed countries for their self-declared economic success, unlike that presented to undeveloped countries, was to promote a very well succeeded secular process of transferring wealth from one country to another that has undergone classic political colonization – colonialism and neocolonialism – and is currently undergoing

economic colonization – multinational companies sending foreign currency annually. It is believed that an important reflection is that the new political colonization, then, seems to be being attempted and, to some extent, achieved through this international platform.

Thus, it is clear that, in fact, an important part of the directions of undeveloped countries was not or is not freely decided by them, but rather the result of reactions to economic needs that compel them to focus on the end and loosen the filter on the means, which, antagonistically, universalizes solutions, in the pragmatic field, in a time of recognition of diversity, in the field of narrative.

These international organizations, then, in this internationalized environment, constitute true disguises for a small number of powerful countries to compose discussion agendas and promote the creation of documents that present public policies already formulated to be implemented in countries, especially undeveloped ones. Its assessment, in fact, occurs jointly, with international organizations and underdeveloped countries collaborating to collect data and interpret it.

The scenario in which global governance occurs, then, is based on an excessively expanded idea of universalism: this idea should not go beyond the fact of recognizing the categories of elementary needs shared by people. If it goes beyond that, reaching solutions aimed at these needs and also universalizing solutions, it ends up harming the self-determination of peoples and guaranteeing the satisfaction of the agenda of a small group that, by offering some of these solutions, seems to design the problems in such a way as to highlight them. However, from there, reducing global governance itself to a political structure designed to reinforce this structure would be a mistaken understanding.

A very interesting academic and scientific perspective on global governance, then, presents itself: that of taking it as an instrumental resource for analysis, due to its capacity to reveal that the power relations it highlights are relational in nature and occur in multiple dimensions, as well as highly dynamically. Thus, global governance does not necessarily mean, for example, the reduction of state power or the democratization of international relations, but it does reveal that consensus blunts conflicts of ideas and unequal power relations that need to be seen more clearly. Likewise, the search for guaranteeing the fulfillment of collective interests on a global scale does not necessarily mean ensuring the best for everyone. Thus, it is proposed that global governance

is not a category that describes a phenomenon that can be verified and measured by any observer, but is a term that brings together a set of observation tools that accentuate aspects of reality and allow the analysis of a given phenomenon: a set of relationships – political, economic

and social – that are established around themes, these relationships being cross-border and encompassing a diverse set of social actors that offer diverse responses to the theme.⁴ (GONÇALVES; INOUE, 2017)

The main utility of the perspective presented is, in view of this power struggle established in an international network society (CASTELLS, 2002), to allow us to see these power relations and, thus, understand that the formulations, implementations and evaluations of different public policies, which primarily impact national scenarios, can serve the purposes of specific groups and, thus, fail to contemplate what would be the best global collective interest.

In this analytical instrumental perspective of global governance, understanding its structuring over a historical evolution that led to globalized neo-corporatism is fundamentally important.

VI. CONCLUSION

The increased complexity of national societies since the 20th century has revealed an environment in which the notions of pluralism and neo-corporatism are essential for understanding the relationship between individuals and groups and the State. This is to ensure that the structures and practices in which these relationships are established are adequately revealed and, from there, to improve the accuracy of the analysis of the mutual pressures that are harbored by these channels.

This pragmatic focus of analysis is also supported by the emergence, at the same time in the 1970s and 1980s, of sociological approaches to the study of public policies that not only allowed us to see the strength of non-state actors in public policy subsystems from a new theoretical perspective, but also offered numerous new models of analysis based on this vision. Subsequently, especially after the end of global bipolarization between the late 1980s and early 1990s, there was an acceleration in the process of internationalization of international relations between individuals and groups, making this an increasingly important issue for the relations between States. An important reference for this phenomenon can be the visible influence that the United Nations or the World Trade Organization exert on the formation of public policies in several countries, from those with humanitarian purposes to those driven by primarily economic interests.

Therefore, for an adequate understanding of public policies today, based on the assumption that one of the most important functions of the State is to mediate the divergent interests of individuals and groups, it is important to recognize that this State activity is exercised in a globalized neo-corporatist scenario that

operates the internationalization of the discussion of public policies.

As a research agenda for future work, in order to overcome the main limitation of the present study – which is the absence of analysis of a specific public policy –, it is suggested that the analysis of public policy subsystems be structured considering both the elements that reveal their neo-corporatist aspects and the elements originating from international organizations (MACEDO; ARAÚJO, 2022), whether they have technical content or political pressure in a given direction, with the help of analytical models (MACEDO; ARAÚJO 2024b) developed in the theoretical environment of a sociological nature of the study of public action (MACEDO; ARAÚJO, 2024a).

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Governance for Strategic Procurement: A Case Study in the Federal Prosecution Service

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Abstract- Law N. 14,133 (2021) assigned senior management the responsibility of implementing a governance model for public procurement. However, recently introduced governance policies fail to provide clear guidelines to support the selection of procurement portfolios, leaving this decision to the manager's discretion. This article proposes a governance model tailored to the strategic procurement processes of the Federal Prosecution Service (MPF), aligned with the objectives of the bidding process as established by the legislation. The study adopted applied nature and qualitative approach, exploratory and descriptive objectives and was conducted as a single and holistic case study. The analysis focused on governance of MPF procurement, supported by a literature review on public governance and strategic procurement, alongside the examination of institutional documents and archival records. As a result, an initial normative model was developed and evaluated by experts using the Delphi method. The study's key contribution is the draft of a regulation to establish the Strategic Procurement Committee within the MPF, introducing the Strategic Procurement Plan, a multi-year tool.

Keywords: *strategic procurement plan, procurement planning, strategic procurement committee, strategic procurement, public governance, procurement governance, strategic procurement 4.0. smart procurement, Law N. 14,133 (2021). iESGo.*

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Governance for Strategic Procurement: A Case Study in the Federal Prosecution Service

Governança Para as Contratações Estratégicas: Estudo de Caso no Ministério Público Federal

Gobernanza en Contrataciones Estratégicas: Estudio de Caso del Ministerio Público Federal

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Abstract- Law N. 14,133 (2021) assigned senior management the responsibility of implementing a governance model for public procurement. However, recently introduced governance policies fail to provide clear guidelines to support the selection of procurement portfolios, leaving this decision to the manager's discretion. This article proposes a governance model tailored to the strategic procurement processes of the Federal Prosecution Service (MPF), aligned with the objectives of the bidding process as established by the legislation. The study adopted applied nature and qualitative approach, exploratory and descriptive objectives and was conducted as a single and holistic case study. The analysis focused on governance of MPF procurement, supported by a literature review on public governance and strategic procurement, alongside the examination of institutional documents and archival records. As a result, an initial normative model was developed and evaluated by experts using the Delphi method. The study's key contribution is the draft of a regulation to establish the Strategic Procurement Committee within the MPF, introducing the Strategic Procurement Plan, a multi-year tool. This innovation, applicable both to the MPF and the broader public administration, fulfills the objectives of Article 11 of Law N. 14,133 (2021) by defining criteria to ensure the

selection of proposals that deliver the most advantageous outcomes for the administration.

Keywords: strategic procurement plan, procurement planning, strategic procurement committee, strategic procurement, public governance, procurement governance, strategic procurement 4.0. smart procurement, Law N. 14,133 (2021). iESGo.

Resumo- A Lei n. 14.133 (2021) atribuiu à alta gestão a responsabilidade pela implementação de um modelo de governança para as contratações públicas. Contudo, as políticas de governança recentemente introduzidas não estabelecem diretrizes claras para subsidiar a escolha do portfólio de contratações, deixando essa definição sujeita à discricionariedade do gestor. Este artigo propõe um modelo de governança voltado às contratações estratégicas do Ministério Público Federal (MPF), alinhado aos objetivos do processo licitatório previstos na referida legislação. O estudo, de natureza aplicada e abordagem qualitativa, apresenta objetivos exploratórios e descritivos e foi conduzido por meio de um estudo de caso único e holístico. A análise concentrou-se na governança das contratações do MPF, com base em revisão da literatura sobre governança pública e compras estratégicas, além de exame de documentos institucionais e registros de arquivo. Como resultado, foi elaborado um modelo normativo inicial, submetido à avaliação de especialistas por meio do método Delphi. A principal contribuição do estudo é a minuta de uma portaria para a criação do Comitê de Contratações Estratégicas do MPF, que inova ao instituir o Plano Estratégico de Contratações, de caráter plurianual. Essa ferramenta, aplicável tanto ao MPF quanto à Administração Pública em geral, atende aos objetivos do Art. 11 da Lei n. 14.133 (2021) ao definir critérios que asseguram a seleção de propostas capazes de gerar o melhor resultado para a Administração.

Palavras-chave: plano estratégico de contratações, planejamento das contratações, comitê de contratações estratégicas, compras estratégicas, governança pública, governança das contratações, compras estratégicas 4.0. compras inteligentes, Lei n. 14.133 (2021). iESGo.

Resumen- La Ley N. 14.133 (2021) otorgó a la alta dirección la responsabilidad de implementar un modelo de gobernanza para las adquisiciones públicas. Sin embargo, las políticas de gobernanza introducidas recientemente no establecen pautas

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claras para respaldar la elección de la cartera de contratación, dejando esta definición sujeta a la discreción del gerente. Este artículo propone un modelo de gobernanza orientado a las contrataciones estratégicas por parte del Ministerio Público Federal (MPF), alineado con los objetivos del proceso de licitación establecidos en la legislación antes mencionada. El estudio, de carácter aplicado y enfoque cualitativo, tiene objetivos exploratorios y descriptivos y fue realizado a través de un estudio de caso único y holístico. El análisis se centró en la gobernanza de los contratos del MPF, basándose en una revisión de la literatura sobre gobernanza pública y compras estratégicas, así como en un examen de documentos institucionales y registros de archivo. Como resultado, se desarrolló un modelo normativo inicial que se sometió a evaluación de expertos utilizando el método Delphi. La principal aportación del estudio es el borrador de una ordenanza para la creación del Comité de Contratación Estratégica del MPF, que innova estableciendo el Plan Estratégico de Contratación, de carácter plurianual. Esta herramienta, aplicable tanto al MPF como a la Administración Pública en general, cumple con los objetivos del artículo 11 de la Ley N. 14.133 (2021) al definir criterios que aseguren la selección de propuestas capaces de generar el mejor resultado para la Administración.

Palabras clave: plan estratégico de contrataciones, planificación de contrataciones, comité de contrataciones estratégicas, compras estratégicas, gobernanza pública, gobernanza de contratación, compras estratégicas 4.0. compras inteligentes, Ley N. 14.133 (2021). iESGo.

I. INTRODUÇÃO

Uma pesquisa realizada em 22 países membros da Organização para a Cooperação e Desenvolvimento Econômico [OCDE] demonstrou que, em 2021, apenas 41% dos cidadãos confiavam em seus governos nacionais, enquanto 48% expressaram preocupações com a integridade governamental. No Brasil, a confiança no governo federal foi ainda menor, alcançando 39,2% dos participantes (OCDE, 2023a, 2023b).

A relevância dessa percepção torna-se evidente ao considerar o volume de recursos movimentados pelas contratações públicas, que correspondem a 12,9% do Produto Interno Bruto (PIB) nos países da OCDE (OCDE, 2023b) e entre 10% e 15% do PIB no Brasil (Brito, 2020; Ferreira Júnior, 2021; Silva & Barki, 2012).

Nesse contexto, agravado por casos de fraudes, desvios administrativos e supervisão deficiente no setor público, evidencia-se a necessidade de aprimoramento da administração pública por meio da adoção de práticas de governança (Timmers, 2000). Na mesma linha, a OCDE recomenda que os governos implementem medidas mais eficazes para fortalecer a confiança e a resiliência democrática, como o aprimoramento das competências de governança para garantir a qualidade dos serviços públicos (OCDE, 2023a, 2023b).

Por sua vez, desde 2007, o Tribunal de Contas da União (TCU) tem concentrado esforços no enfrentamento da falta de planejamento nas organizações públicas, por meio de levantamentos sobre governança e gestão. Em 2024, o TCU aplicou o questionário iESGo a 387 organizações e o Acórdão n. 1.913/2024 – TCU – Plenário demonstrou que, embora tenha sido identificada uma evolução geral no cenário, persistem elevados índices de vulnerabilidade relacionados ao balanceamento de poder na tomada de decisões críticas, o que eleva o risco de deliberações de grande impacto serem tomadas por um grupo restrito de atores, contrariando os interesses organizacionais e da sociedade.

Por seu turno, a Lei n. 14.133 (2021) positivou a maioria das práticas avaliadas e recomendadas pelo TCU nos últimos anos e, em seu Art. 11, parágrafo único, responsabilizou a alta administração do órgão ou entidade pela governança das contratações.

No âmbito do Ministério Público da União (MPU), a Política de Governança das Contratações foi regulamentada pela Portaria PGR/MPU n. 38 (2023), que estabeleceu como instrumentos da Política o Plano de Logística Sustentável, o Plano de Contratações Anual, o Plano Anual de Capacitação e o Plano de Obras. O Plano de Contratações Anual, por sua vez, tem como objetivos principais a racionalização das contratações por meio de processos centralizados, alinhados ao planejamento estratégico e aos instrumentos de governança existentes.

Entretanto, não foram definidas diretrizes claras para subsidiar a escolha do portfólio de projetos de contratações, o que torna essa definição sujeita ao caráter discricionário do gestor.

Essa ausência de parâmetros objetivos justifica a realização desta pesquisa, processada por meio de um estudo de caso único e holístico, a governança das contratações do MPF, que se presta a propor um modelo de governança para as contratações estratégicas do MPF que contribua para o alcance dos objetivos do processo licitatório trazidos pela Lei n. 14.133 (2021).

O estudo, que traz como contribuição prática a possibilidade de utilização da minuta formulada pelo MPF e, com adaptações necessárias, por outras instituições, está organizado da seguinte forma: após esta introdução, a segunda seção traz a fundamentação teórica sobre a governança pública; a terceira anuncia o conceito de contratações estratégicas; a quarta elenca os procedimentos metodológicos utilizados; a quinta, os resultados e as discussões; e, por último, apresentam-se as considerações finais.

II. GOVERNANÇA PÚBLICA

O Relatório *Government at a Glance 2023*, baseado em uma pesquisa realizada em 22 países membros da OCDE revelou que 40% dos entrevistados esperavam melhorias em serviços de baixo desempenho e 38% aguardavam a implementação de inovações no governo. Esses dados indicam que ainda há um descompasso entre as expectativas sociais e as ações governamentais. Para corrigir essa distorção, a OCDE sugere que os governos devem adotar medidas mais eficazes de governança para fortalecer a confiança, a democracia e a qualidade dos serviços prestados ao cidadão (OCDE, 2023a; 2023b).

Em 1995, o *Committee on Standards in Public Life* do Reino Unido (*The Nolan Committee*) publicou o Relatório Nolan, que estabeleceu sete princípios para orientar a conduta na vida pública: altruísmo, integridade, objetividade, responsabilidade, transparência, honestidade e liderança (*International Federation of Accountants* [IFAC], 2001).

Na Holanda, o termo governança governamental (*government governance*) surgiu em 1996 no relatório "*Government Governance: on the management – control – supervision – accountability cycle*", desenvolvido pelo *Government Audit Policy Directorate*. Já a literatura inglesa tem empregado o termo governança corporativa no setor público (*corporate governance in the public sector*) (Timmers, 2000).

Timmers (2000) descreve a governança pública como a inter-relação entre direção, controle e supervisão de instituições governamentais, com o objetivo de alcançar metas políticas de forma eficiente, garantir transparência e *accountability*.

O IFAC (2001) estabelece diretrizes para a governança pública em quatro áreas principais, com recomendações específicas em cada uma: padrões de comportamento, por meio do incentivo à liderança, integridade, objetividade, honestidade e códigos de conduta; estruturas e processos organizacionais, através da definição de papéis claros, responsabilidade legal, uso eficiente dos recursos públicos e comunicação com as partes interessadas; controle, com o auxílio da gestão de riscos, auditoria interna, comitês de auditoria, controle interno, orçamentos, gestão financeira e capacitação; e relatórios externos, mediante a produção de relatórios anuais, adoção de padrões contábeis, avaliação de desempenho e auditoria externa.

Entretanto, o IFAC (2001) reconhece a diversidade existente no setor público dos diversos países e sugere que os modelos de governança devem ser adaptados conforme as particularidades de cada contexto.

Teixeira e Gomes (2019), em uma revisão conceitual sobre governança pública, destacam alguns

princípios comuns entre os estudiosos da área: prestação de contas e responsabilização dos agentes públicos; transparência e credibilidade das informações; eficiência nas políticas, gestão e estruturas públicas; e alinhamento com o interesse público.

Altounian, Souza e Lapa (2020) admitem as diferenças entre a governança pública e privada, mas argumentam que ambas compartilham princípios fundamentais, como equidade, transparência, respeito às leis, conduta ética e prestação de contas, enquanto Fenili (2018) sugere que, no contexto público, o combate ao problema da agência começa com o princípio da legalidade, em que as normas legais funcionam como um contrato a ser seguido pelos agentes públicos, visando sempre ao interesse da sociedade.

Por sua vez, o TCU define governança pública organizacional como o conjunto de mecanismos de liderança, estratégia e controle utilizados para avaliar, direcionar e monitorar o trabalho da gestão, com o objetivo de aprimorar a condução de políticas públicas e a prestação de serviços de interesse da sociedade (Tribunal de Contas da União [TCU], 2020).

Seguindo, a Corte de Contas defende que a autoridade máxima, como instância interna de governança, é responsável por avaliar, direcionar e monitorar a organização, sendo auxiliada, no estabelecimento de políticas, por gestores de nível estratégico. As instâncias situadas abaixo têm a responsabilidade de coordenar a gestão tática e executar processos finalísticos e de apoio (TCU, 2020).

Na mesma linha, Ache e Fenili (2022) consideram que a governança não se limita ao estabelecimento de diretrizes pela cúpula organizacional, sendo necessário seu desdobramento nos níveis tático e operacional para garantir a execução e institucionalização eficazes.

Assim, desde 2007 o TCU passou a realizar levantamentos de governança e gestão e, em 2013, publicou a primeira versão do Referencial Básico de Governança, com o objetivo de orientar e incentivar a implementação de boas práticas de governança por organizações públicas, que já está em sua terceira edição (TCU, 2020).

Nesse contexto, o Governo Federal editou o Decreto n. 9.203 (2017), que dispõe sobre a política de governança da administração pública federal direta, autárquica e fundacional e conceituou governança pública como um conjunto de mecanismos de liderança, estratégia e controle utilizados para avaliar, direcionar e monitorar a gestão, com o objetivo de conduzir a execução das políticas públicas e a prestação de serviços para a sociedade.

O levantamento realizado pela Corte de Contas em 2017 concluiu que a gestão das contratações estava em estágio inicial em 56% das instituições

(Fenili, 2018), enquanto a pesquisa executada em 2021 demonstrou uma melhoria nas capacidades de governança e gestão das organizações, comparadas às observadas em 2017, segundo o Acórdão 2164/2021 – TCU – Plenário.

Em 2024, o questionário iESGo, que teve o objetivo de integrar a avaliação dos processos de governança e gestão aos de sustentabilidade, buscando expandir o conceito do iGG para internalizar as diretrizes comunicadas pelo termo *Environmental, Social and Governance (ESG)*, foi aplicado a 387 organizações entre 4 de março e 12 de abril. Os dados trazidos no Acórdão n. 1.913/2024 – TCU – Plenário indicaram uma melhoria no panorama geral; contudo, persiste um elevado percentual de organizações com fragilidades no equilíbrio de poder decisório, o que amplia o risco de decisões críticas serem concentradas em um pequeno número de agentes. Outro ponto sensível verificado foi que a maioria das organizações (59%) não realiza revisões periódicas das decisões críticas e 57% falham em não revisar regularmente os seus processos decisórios para avaliar se os limites de autoridade e a segregação de funções na tomada de decisões críticas são adequados.

Para remediar essa situação, Justen Filho (2023) destaca que a governança pública nas contratações restringe a autonomia dos agentes e promove comportamentos preestabelecidos, prevenindo decisões arbitrárias e práticas antiéticas, enquanto Ache e Fenili (2022) afirmam que um ambiente íntegro atrai licitantes, reforça a isonomia e a competitividade, além de mitigar desvios e desperdícios.

Verificou-se ainda que cerca de metade das organizações analisadas demonstra estar no estágio inicial de definição de seus modelos de gestão de sustentabilidade e mesmo entre as organizações que desenvolveram tais modelos, há uma parcela que não realiza o monitoramento necessário.

O cenário observado pelo TCU ocorre três anos após a Lei n. 14.133 (2021) ter creditado a responsabilidade pela governança das contratações a alta administração das instituições, o que demonstra que ainda há um longo caminho a ser percorrido até que as definições normativas sejam absolvidas e efetivamente praticadas.

III. COMPRAS ESTRATÉGICAS

Mudanças nos fatores políticos, econômicos, tecnológicos e sociais têm transformado o papel das compras em todo o mundo, tornando os processos de aquisição estratégica essenciais para as organizações modernas (Wereda & Wysokinska-Senkus, 2021).

As compras estratégicas consistem em um processo sistemático de compras e relacionamento com fornecedores, alinhado aos objetivos estratégicos,

com o intuito de gerar valor de longo prazo para a organização (Wereda & Wysokinska-Senkus, 2021; Su, Hilsdorf & Sampaio, 2010).

Nesse sentido, a gestão estratégica de compras adotada por empresas privadas busca otimizar a seleção de fornecedores visando ao alcance de vantagem competitiva. Essa abordagem visa elevar a eficiência, reduzir custos, acelerar prazos de entrega e melhorar a competitividade, promovendo um incremento no desempenho organizacional (Bastos & Servare Junior, 2021).

Corbos, Bunea e Jiroveanu (2023) investigaram o contexto dos negócios na Romênia e introduziram o conceito de "compras estratégicas 4.0", que incorpora a tecnologia aos processos de aquisição. Na era da Indústria 4.0, a estratégia de compras deve ser automatizada e se alinhar à estratégia organizacional para minimizar ameaças, explorar oportunidades, superar fraquezas e fortalecer pontos positivos.

Os autores defendem ainda que as estratégias tradicionais de compras, baseadas na economia linear, devem ser repensadas para a economia circular, exigindo novos sistemas de medição, competências e habilidades. E aduzem que o desempenho das compras 4.0 depende de três elementos-chave: (1) estratégia de compras alinhada à estratégia corporativa; (2) planejamento de aquisição integrado aos objetivos estratégicos; e (3) revisão de desempenho voltada para a melhoria contínua (Corbos, Bunea & Jiroveanu, 2023).

Almeida *et al.* (2018), em sua revisão sistemática sobre compras estratégicas no setor público, concluíram que a função de compras em organizações públicas torna-se mais estratégica quando há competências voltadas para o desenvolvimento sustentável, uso de contratação eletrônica, promoção da inovação e parcerias interorganizacionais.

Para Terra (2018), a gestão de compras públicas, dada sua complexidade e caráter estratégico, deve ser compreendida como uma função multidimensional, influenciando desde a governança pública até a execução operacional, envolvendo transformações culturais, estruturais, legislativas e de controle, tanto na administração pública quanto no mercado fornecedor. Nesse sentido, o autor introduz o conceito de "compras públicas inteligentes" como um processo estratégico que visa atender às demandas da organização, do governo e da sociedade, mediante um ciclo completo que vai do planejamento até as ações corretivas, possibilitando a melhoria contínua do processo.

Bastos e Servare Junior (2021), em um estudo de caso sobre a gestão de estoque de tubulações em uma empresa atacadista, propõem o uso combinado da Curva ABC e da Matriz Kraljic para classificação e

análise estratégica de itens. A Curva ABC classifica os itens conforme sua importância financeira, enquanto a Matriz Kraljic, ou Matriz de Compras, complementa a análise ao relacionar cada item com seus respectivos riscos, possibilitando a definição de abordagens estratégicas para a área de compras.

Já Bim (2016) recomenda a realização de um planejamento estratégico para a área de compras, por meio de diagnóstico de gastos (*spend analysis*), que inclui a categorização e subcategorização dos gastos, avaliação do mercado fornecedor e mapeamento dos processos de aquisição, com foco na identificação de oportunidades de redução de custos e otimização de processos.

IV. METODOLOGIA

A metodologia deste estudo possui caráter aplicado e adota uma abordagem qualitativa. Com objetivos exploratórios e descritivos, o trabalho foi desenvolvido como um estudo de caso único e holístico, centrado na governança das contratações do MPF. A pesquisa foi estruturada a partir de uma revisão da literatura sobre governança pública e compras estratégicas – fase exploratória – para melhor delimitação do problema e do objetivo da pesquisa, seguida por uma análise documental e de registros institucionais. Com base nesses elementos, foi elaborado um modelo normativo para aprimorar a governança das contratações estratégicas no MPF, posteriormente submetido à validação por especialistas empregando-se o método Delphi (Creswell, 2010; Gil, 2002; Marques, Camacho & Alcantara, 2015; Yin, 2015).

Seguindo os passos recomendados por Yin (2015) para assegurar a confiabilidade do estudo, a coleta de dados foi processada por meio do uso de múltiplas fontes de evidências, iniciada com o levantamento e análise dos instrumentos normativos vigentes no MPU e no MPF relacionados à governança. Em seguida, realizou-se um levantamento de evidências na base de dados do Sistema Único, utilizado para a tramitação de documentos e processos administrativos na instituição, que forneceu as condições necessárias para a elaboração do modelo inicial do normativo.

Com base nos princípios trazidos para o Método Delphi por Avella (2016), Grisham (2009), Gupta e Clarke (1996), Rowe e Wright (1999), Yousuf (2007) e Webler *et al.* (1991), foram conduzidas duas rodadas de entrevistas com especialistas, todos servidores do MPF com no mínimo cinco anos de experiência na área de contratações. Os participantes foram selecionados de maneira a garantir uma distribuição representativa: cinco das Secretarias Nacionais, um das Procuradorias Regionais da República e quatro das Procuradorias da República nos Estados. Essa abordagem visou capturar perspectivas *top-down* e *bottom-up* para minimizar o risco de vieses e assegurar uma análise equilibrada e abrangente. Por sua vez, as entrevistas ocorreram por meio de duas fases estruturadas:

- *Primeira Rodada*: Apresentação da minuta do normativo, acompanhada de um questionário contendo perguntas fechadas e abertas. Essa etapa visou obter as opiniões iniciais dos especialistas sobre o modelo apresentado.
- *Segunda Rodada*: Fornecimento de uma síntese das respostas coletadas na primeira rodada (*feedback*), juntamente com um questionário contendo novas perguntas fechadas e abertas e uma versão ajustada do normativo. Esse procedimento permitiu que os especialistas, informados das opiniões de seus pares, tivessem a oportunidade de confirmar ou ajustar suas respostas, promovendo o refinamento e a convergência das opiniões.

As identidades dos participantes da pesquisa não serão reveladas em respeito à proteção dos sujeitos humanos em pesquisas de estudos de caso preconizada por Yin (2015) e a um dos pilares do método Delphi, que é o anonimato.

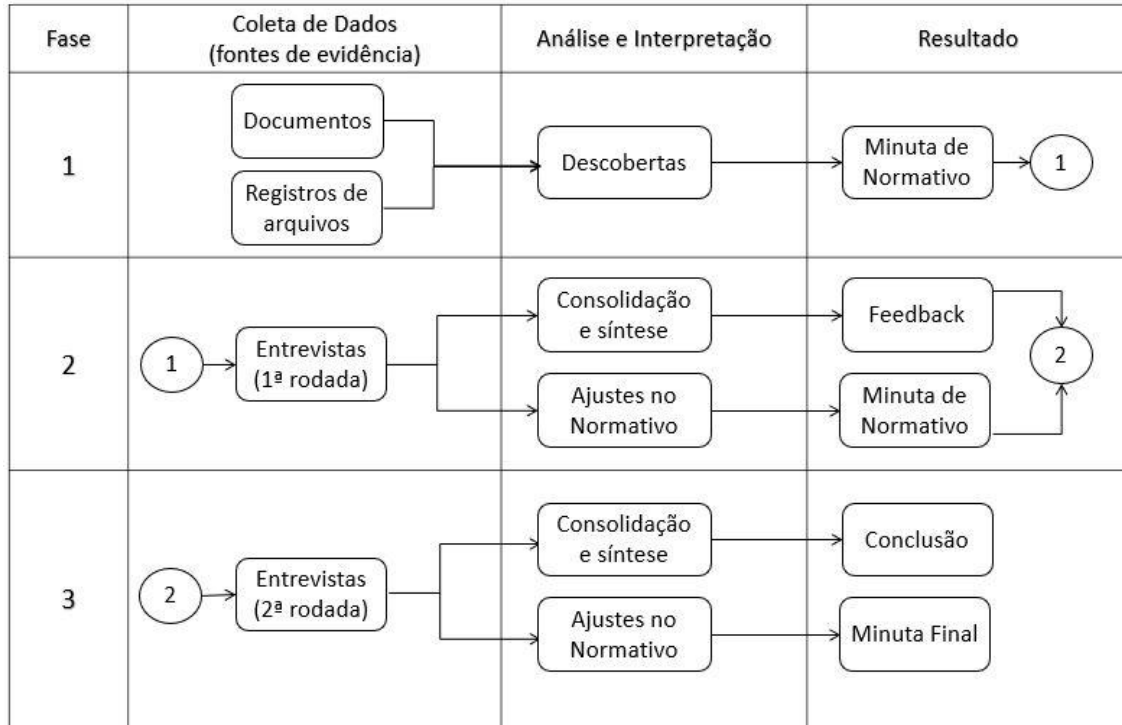
As fontes de evidências coletadas estão armazenadas em uma pasta denominada “Coleta de Dados” localizada no *OneDrive*, em conta privada protegida por senha do pesquisador, estruturada na forma detalhada na Figura 1.



Fonte: Elaborada pelo autor

Figura 1: Estrutura das Pastas no Onedrive

As evidências coletadas e analisadas neste estudo de caso foram encadeadas conforme demonstrado na Figura 2.



Fonte: Elaborado pelo autor baseado em Yin (2015).

Figura 2: Encadeamento das Evidências

Todas as fontes de evidência utilizadas neste trabalho foram de natureza eletrônica e a pesquisa concentrou-se em dados oficiais do MPF, visando assegurar a integridade das provas utilizadas.

As entrevistas foram conduzidas por meio de um questionário elaborado com o aplicativo *Google Forms*, acessado através de uma conta pessoal do pesquisador, garantindo a confidencialidade por meio do uso de *login* e senha. O *link* de acesso ao questionário foi enviado aos participantes por meio de mensagens eletrônicas individuais, a fim de preservar o anonimato e assegurar a proteção das informações coletadas.

A validade do constructo foi assegurada por meio da formulação de um modelo fundamentado em uma robusta pesquisa bibliográfica, documental e em registros de arquivos, que posteriormente foi validado por especialistas utilizando o método Delphi.

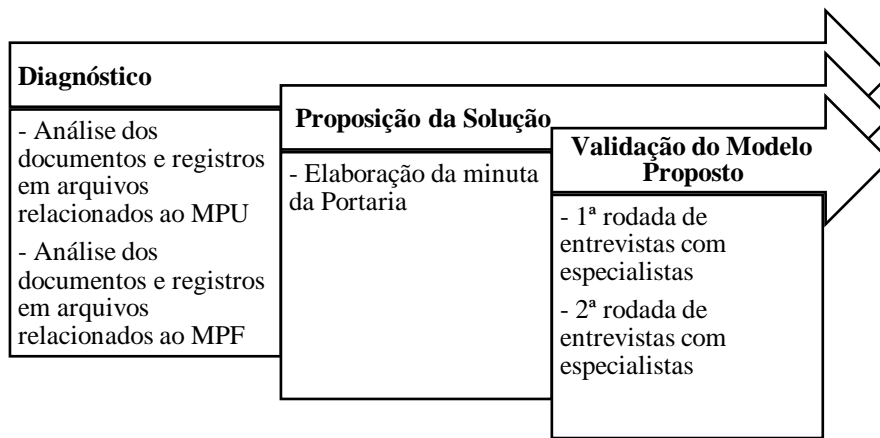
A validade externa foi garantida por meio de uma revisão abrangente da literatura relacionada à governança pública e às compras estratégicas, o que garante a generalização dos resultados da pesquisa (Maffezzolli & Boehs, 2008; Yin, 2015).

Além disso, a confiabilidade do estudo é assegurada pelo registro detalhado da documentação dos procedimentos seguidos, conforme previamente exposto, possibilitando a replicação dos procedimentos utilizados (Maffezzolli & Boehs, 2008; Marques, Camacho, & Alcantara, 2015; Yin, 2015).

Por último, a autorização da instituição para a realização da pesquisa foi formalmente concedida em 21 de junho de 2024.

V. RESULTADOS E DISCUSSÃO

Para uma melhor clareza da apresentação dos resultados obtidos nesta pesquisa, essa seção foi dividida em três etapas, compostas dos tópicos apresentados na Figura 3.



Fonte: Elaborado pelo autor

Figura 3: Fases da Análise de Resultados

a) *Diagnóstico: Pesquisa Documental e em Registros de Arquivos*

A análise documental iniciou-se com a consulta à seção "Contratações" no site do MPU, onde foi examinada a Política de Governança das Contratações do MPU e da ESMPU, regulamentada pela Portaria PGR/MPU n. 38 (2023), que define como instrumentos o Plano de Logística Sustentável (PLS), o Plano de Contratações Anual (PCA), o Plano Anual de Capacitação (PAC) e o Plano de Obras (POB), permitindo ainda a adoção de outros mecanismos complementares.

O PCA, conforme disposto no Capítulo III da Política, visa racionalizar as contratações, promovendo certames centralizados, em alinhamento com o planejamento estratégico e outros instrumentos de governança. No entanto, a política enfatiza diretrizes gerais, sem estabelecer critérios objetivos para identificar categorias estratégicas ou estruturar o portfólio de contratações centralizadas.

A análise também envolveu a avaliação de normativos do MPF, incluindo o Regimento Interno Diretivo (RID) e o Regimento Interno Administrativo

(RIA), respectivamente regulamentados pelas Portarias PGR n. 357 (2015) e SG n. 382 (2015). O RID atribui à Secretaria-Geral a coordenação administrativa das unidades do MPF (Art. 50). O Título XIII do RID aborda o Sistema de Gestão Estratégica e Governança do MPF (Arts. 71 a 98), mas nenhuma das oito Comissões Temáticas previstas contempla a análise sistêmica de contratações estratégicas. Apenas as Comissões de Tecnologia da Informação e de Segurança Institucional atuam em contratações específicas de suas áreas e de forma não integrada.

Por fim, a Portaria n. 299 (2015) estabelece a gestão compartilhada do orçamento para as Unidades Administrativas de Gestão (UAG) do MPF, designando os titulares das Secretarias Nacionais Temáticas como gestores das UAGs. Já o Art. 74, VI, do RIA, confere ao Secretário de Administração a responsabilidade pela ordenação das despesas discricionárias, à exceção de pessoal. Essa estrutura evidencia uma assimetria de informações entre as áreas responsáveis pela gestão orçamentária e àquela que executa as contratações, como apresentado no Quadro 1.

Quadro 1: Assimetria de Informação Entre Planejamento e Execução do Orçamento

PGR	
Planejamento Orçamentário	Execução Orçamentária
Anexo II Portaria n. 299 (2015)	Art. 74, VI, do RIA
<ul style="list-style-type: none"> Secretaria de Administração Secretaria de Tecnologia da Informação e Comunicação Secretaria de Segurança Institucional Secretaria de Engenharia e Arquitetura Secretaria de Comunicação Social Secretaria Jurídica e de Documentação Secretaria de Serviços Integrados da Saúde Secretaria de Gestão de Pessoas 	<ul style="list-style-type: none"> Secretaria de Administração

Fonte: Elaborada pelo autor com base na Portaria n. 299 (2015) e na Portaria SG n. 382 (2015).

A assimetria observada na PGR, onde os responsáveis pelo planejamento orçamentário diferem dos responsáveis pela execução das despesas, não se verifica nas unidades regionais e estaduais, onde os gestores que elaboram o orçamento também ordenam as despesas.

A busca documental no sistema Único identificou a Nota Técnica n. 1/2023/SPOC/SG e a Nota Técnica n. 1/2024/SPOC/SG, fundamentais para o entendimento do planejamento e execução orçamentária no MPF. Esses documentos apresentam Relatórios de Resultados da Avaliação de Desempenho da Programação Orçamentária e Financeira das UAGs para 2022 e 2023, elaborados pela Secretaria de Planejamento, Orçamento e Contabilidade (SPOC).

A análise se concentrou no indicador de Programação Orçamentária do Exercício (POE), focado nos planos internos das unidades avaliadas. Os resultados indicam uma variação de 13,25% na despesa programada entre 2022 e 2023, enquanto o crescimento da despesa empenhada foi de 7,90%, evidenciando lacunas no planejamento orçamentário do MPF. O indicador de manutenção básica, composto por contratos continuados e outras despesas previsíveis, permaneceu relativamente estável (95,29% em 2022 e 94,82% em 2023). Por outro lado, o desempenho do Plano Institucional de Demandas (PID), que abrange

contratações estratégicas, caiu de 90,33% em 2022 para 57,73% em 2023.

Entretanto, em 2022, o desempenho do PID foi impactado por um destaque de R\$ 47 milhões ao Departamento de Polícia Rodoviária Federal para aquisição de aeronaves, transação não prevista até agosto daquele ano. Excluindo essa operação, o desempenho ajustado do POE para o PID seria de apenas 40,15% em 2022.

Os dados também revelam que o indicador POE é consistentemente mais baixo nas Secretarias Nacionais, responsáveis pela maior parte do orçamento estratégico (89,82% em 2022 e 82,68% em 2023), em comparação com as unidades regionais e estaduais (97,14% em 2022 e 97,33% em 2023). Esse quadro sugere que a assimetria de informações entre a Secretaria de Administração, que executa as contratações, e as Secretarias Nacionais, que planejam o orçamento, conforme ilustrado no Quadro 1, pode influenciar resultados insatisfatórios.

Outro aspecto relevante é que as áreas de Tecnologia da Informação e Segurança Institucional, que possuem Comissões Temáticas para auxiliar na definição de prioridades e diretrizes, não obtêm desempenho superior no indicador POE em comparação a Secretarias sem essa governança, conforme ilustrado no Quadro 2.

Quadro 2: Indicador POE das Secretarias Nacionais do MPF

Secretaria Nacional	POE 2022	Secretaria Nacional	POE 2023
SPPEA	43,03%	SSIN	52,76%
SSIN	48,11%	SECOM	77,23%
SEA	71,86%	SPPEA	78,66%
SEJUD	76,90%	SEA	78,83%
STIC	76,90%	STIC	80,58%
PA	84,68%	SG	84,34%
SGP	89,40%	SECONC	86,93%
SECOM	92,09%	SEJUD	91,42%
SA	93,08%	SSIS	93,90%
SSIS	96,52%	SGP	96,50%
		SA	97,12%

Fonte: Elaborado pelo autor com base nas NT n. 1/2023/SPOC/SG e 1/2024/SPOC/SG

Os dados analisados reforçam a necessidade de melhorias no planejamento e na execução orçamentária das despesas associadas às contratações estratégicas. A próxima seção apresenta a minuta de normativo para criação de uma nova instância de governança, com enfoque na análise sistêmica de todas as contratações estratégicas do MPF.

b) Proposição de Solução: Elaboração da Minuta do Normativo

Após a conclusão da fase de diagnóstico, foi elaborada uma minuta inicial do novo normativo. A composição do Comitê foi definida com base nas

atribuições regimentais e na proporção do orçamento discricionário de cada Secretaria. No primeiro grupo, foram incluídos o Secretário-Geral, o Secretário-Geral Adjunto, o Secretário de Administração e o Secretário de Planejamento, Orçamento e Contabilidade; no segundo grupo, foram incluídos os titulares das Secretarias de Tecnologia da Informação e Comunicação, Engenharia e Arquitetura, e Segurança Institucional.

A definição das atribuições do Comitê de Contratações Estratégicas seguiu como referência a Portaria MGI n. 2.264 (2023), que instituiu o Comitê de Compras e Contratações Estratégicas no Ministério da

Gestão e da Inovação em Serviços Públicos, bem como o Decreto n. 47.525 (2021), que regulamentou a Política Estadual de Gestão Estratégica de Suprimentos e Compras Centralizadas no Estado do Rio de Janeiro.

Por sua vez, os critérios para categorizar as contratações estratégicas foram extraídos da Portaria MGI n. 2.264 (2023) e complementados por melhores práticas identificadas na literatura sobre estratégia de contratações (Almeida *et al.*, 2018; Bastos & Servare Junior, 2021; Bim, 2016; Corbos, Buena & Jiroveanu, 2023; Fenili, 2018; Murray, 2001; Su, Hilsdorf & Sampaio, 2010; Terra, 2018; Wereda & Wysokinska-Senkus, 2021).

c) *Validação do Modelo Proposto: Entrevistas com Especialistas*

A primeira rodada forneceu insumos e sugestões relevantes para o aperfeiçoamento dos

componentes, competências e critérios para seleção das categorias estratégicas das contratações, culminando em uma versão aprimorada do normativo. Na segunda rodada, os participantes receberam uma síntese das respostas da primeira fase, acompanhado de comentários do pesquisador e um novo questionário de perguntas fechadas e abertas. Assim, cada especialista, munido da própria resposta e de seus pares, teve a oportunidade de confirmar ou alterar seu entendimento.

As duas rodadas de entrevistas resultaram em consenso sobre os cinco elementos da minuta do normativo (concordância total ou parcial), conforme demonstrado no Quadro 3.

Quadro 3: Demonstração do Consenso Entre os Participantes da Pesquisa

Elemento	Concordância na 1ª rodada de entrevistas		Concordância na 2ª rodada de entrevistas		Consenso
	Total	Parcial	Total	Parcial	
Implantação de um modelo de governança para as contratações estratégicas no MPF	70%	20%	NA	NA	Sim
Denominação Comitê de Contratações Estratégicas	60%	30%	50%	50%	Sim
Competências do Comitê	50%	50%	70%	30%	Sim
Critérios para definição das categorias estratégicas	50%	50%	80%	20%	Sim
Frequência semestral das reuniões do Comitê	80%	-	40%	-	Não

Fonte: Elaborado pelo autor

Embora o elemento “frequência semestral das reuniões do Comitê” não tenha alcançado o consenso, a preferência por uma periodicidade menor, manifestada por 60% dos participantes, foi contemplada na redação do artigo correspondente, que

prevê reuniões deliberativas ordinárias a cada semestre e reuniões extraordinárias convocadas pelo Coordenador, de ofício ou por requerimento de qualquer membro.

Por sua vez, o Quadro 4 indica consenso quanto à seleção dos integrantes do Comitê.

Quadro 4: Demonstração do Consenso na Escolha dos Integrantes do Comitê

Integrante	Concordância na 1ª rodada de entrevistas	Concordância na 2ª rodada de entrevistas	Consenso	Incluído no Comitê
Secretário-Geral	100%	NA	Sim	Sim
Secretário-Geral Adjunto	80%	10%	Sim	Não
Secretário de Administração	100%	NA	Sim	Sim
Secretário de Planejamento, Orçamento e Contabilidade	90%	80%	Sim	Sim
Secretário de Tecnologia da Informação e Comunicação	100%	NA	Sim	Sim
Secretário de Engenharia e Arquitetura	100%	NA	Sim	Sim
Secretário de Segurança Institucional	100%	NA	Sim	Sim
Secretário de Pesquisa, Perícia e Análise	10%	40%	Sim	Não
Secretário de Gestão de Pessoas	10%	20%	Sim	Não
Unidades Regionais/Estaduais	30%	80%	Sim	Sim

Fonte: Elaborado pelo autor

Os integrantes cuja participação foi validada de forma unânime na primeira rodada de entrevistas não foram reavaliados na segunda rodada. A participação do Secretário-Geral Adjunto e do Secretário de Planejamento, Orçamento e Contabilidade foi questionada por 20% e 10% dos participantes, respectivamente, na primeira rodada. Esses argumentos foram apresentados na segunda rodada e convenceram 90% dos especialistas quanto à exclusão do primeiro e 20% quanto ao segundo, que teve a participação mantida.

Além disso, a primeira rodada sugeriu a inclusão de novos membros, como o Secretário de Pesquisa, Perícia e Análise (10%), o Secretário de Gestão de Pessoas (20%) e representantes das Unidades Regionais/Estaduais (30%). Na segunda rodada, os dois primeiros foram rejeitados por 60% e 80%, respectivamente, enquanto a entrada de representantes das Unidades Regionais/Estaduais foi aprovada por 80% dos especialistas. Dentre os apoiadores da inclusão desses representantes, metade sugeriu a participação dos procuradores-chefes e a outra metade indicou os secretários regionais/estaduais. No entanto, considerando que a competência originária para a ordenação de despesas nas unidades regionais/estaduais é atribuída aos procuradores-chefes (Art. 33, XIX, do RIA), optou-se por incluir esses atores no Comitê.

Por outro lado, como a participação de todos os procuradores-chefes tornaria a logística onerosa, optou-se pela proposição de um integrante escolhido pelo Secretário-Geral entre os procuradores-chefes das seis Procuradorias Regionais da República e um de cada um dos quatro grupos de Procuradorias da República nos Estados, conforme o Art. 62 do RID.

Os dados analisados nos Quadros 3 e 4 corroboram a literatura consultada, que destaca que o *feedback* das rodadas pode incentivar os participantes a reconsiderarem suas posições (Avella, 2016; Grisham, 2009; Gupta & Clarke, 1996; Rowe & Wright, 1999; Webler et al., 1991). Observou-se também que o anonimato facilitou a participação e permitiu contribuições valiosas para o aprimoramento do resultado, sem a intimidação esperada numa interação face a face (Grisham, 2009; Gupta & Clarke, 1996; Rowe & Wright, 1999; Webler et al., 1991).

Ademais, o apoio do grupo à criação do Comitê de Contratações Estratégicas, com a responsabilidade pela aprovação do Plano Estratégico de Contratações a partir de critérios objetivos para a definição das categorias, reflete a orientação do TCU sobre as práticas de governança no direcionamento e monitoramento das organizações (Brasil, 2020b), visão corroborada por Justen Filho (2023), que defende que a governança pública das contratações reduz a discricionariedade dos agentes públicos e impõe padrões de comportamento preestabelecidos.

O Plano Estratégico de Contratações de caráter plurianual, produto do Comitê, está alinhado à proposta de Wereda e Wysokinska-Senkus (2021), de Corbos, Bunea e Jiroveanu (2023) e de Bastos e Servare Junior (2021), que sugerem que a adoção de compras estratégicas requer novas práticas alinhadas aos objetivos estratégicos de longo prazo da organização.

A minuta incorpora critérios como o vulto da contratação e o impacto institucional do bem ou serviço, alinhados à metodologia proposta por Bastos e Servare Junior (2021), que defendem a utilização da Curva ABC e da Matriz Kraljic para classificar itens e avaliar os riscos envolvidos.

Por fim, a proposta gerada por este estudo representa uma inovação ao estabelecer como principal produto do Comitê o Plano Estratégico de Contratações, de natureza plurianual. Esse plano é composto por diversos elementos essenciais, incluindo: o portfólio de categorias estratégicas das contratações, a priorização dessas categorias, os critérios para a centralização das contratações, o portfólio das contratações centralizadas, soluções, modelos e procedimentos propostos para contratações e licitações, além de critérios para o gerenciamento de riscos e a avaliação das soluções implementadas no âmbito das contratações e licitações.

d) *Minuta Final do Normativo*

O Art. 3º, que trata das competências do Comitê, foi substancialmente impactado pela aplicação das duas rodadas de entrevistas: o *caput* do artigo passou a trazer o produto principal do Comitê, o Plano Estratégico de Contratações, e a quantidade de incisos foi ampliada de 5 para 10.

Por sua vez, o Art. 4º, que apresenta os critérios para a definição das categorias estratégicas, recebeu apenas aprimoramentos na clareza do texto entre as rodadas de entrevistas.

A íntegra da minuta final pode ser visualizada a seguir:

PORTARIA PGR/MPF N. XXX, DE XX DE XXX DE 2024.

Institui o Comitê de Contratações Estratégicas no Sistema Integrado de Gestão Estratégica e Governança do MPF.

O PROCURADOR-GERAL DA REPÚBLICA, no uso das atribuições que lhe confere o art. 49, incisos XX e XXII, da Lei Complementar n. 75, de 20 de maio de 1993, resolve:

Art. 1º Instituir o Comitê de Contratações Estratégicas no Sistema Integrado de Gestão Estratégica e Governança.

Art. 2º O Comitê de Contratações Estratégicas será constituído pelos seguintes integrantes:

- I- Secretário-Geral;
- II- Secretário de Administração;

- III- Secretário de Planejamento, Orçamento e Contabilidade;
- IV- Secretário de Tecnologia da Informação e Comunicação;
- V- Secretário de Engenharia e Arquitetura;
- VI- Secretário de Segurança Institucional;
- VII- Um Procurador-Chefe representante das Procuradorias Regionais da República;
- VIII- Um Procurador-Chefe representante das Procuradorias da República do 1º grupo;
- IX- Um Procurador-Chefe representante das Procuradorias da República do 2º grupo;
- X- Um Procurador-Chefe representante das Procuradorias da República do 3º grupo;
- XI- Um Procurador-Chefe representante das Procuradorias da República do 4º grupo.

§ 1º O Comitê de Contratações Estratégicas será coordenado pelo Secretário-Geral, que será substituído, em seus afastamentos, pelo Secretário-Geral Adjunto.

§ 2º Os demais Secretários Nacionais serão substituídos, em seus afastamentos, pelos respectivos Secretários Adjuntos.

§ 3º Caberá ao Secretário-Geral a nomeação dos integrantes mencionados nos incisos VII a XI deste artigo, bem como seus respectivos substitutos.

§ 4º A Secretaria-Geral, por meio da Assessoria Especial de Governança e Controle Interno, será responsável pela preparação da pauta e da documentação a ser enviada aos integrantes do Comitê de Contratações Estratégicas, com antecedência mínima de cinco dias úteis.

§ 5º A Assessoria Especial de Governança e Controle Interno e a Assessoria Especial de Gestão Estratégica participarão das atividades na qualidade de ouvintes, e ficarão à disposição para a prestação de apoio técnico e esclarecimento de questões necessárias para embasar as decisões.

§ 6º Poderão participar das atividades do Comitê de Contratações Estratégicas os membros, os servidores ou os colaboradores convidados e autorizados pelo Coordenador, de ofício ou a pedido de qualquer de seus integrantes, na qualidade de ouvintes sem direito a voto, que ficarão à disposição para esclarecer questões necessárias para embasar a tomada de decisão.

Art. 3º Ao Comitê de Contratações Estratégicas compete aprovar o Plano Estratégico de Contratações do MPF e decidir sobre:

- I- portfólio de categorias estratégicas das contratações;
- II- priorização das categorias estratégicas das contratações;
- III- manutenção ou modificação das categorias estratégicas das contratações;

- IV- critérios de centralização das contratações;
- V- portfólio das contratações centralizadas a nível nacional;
- VI- manutenção ou modificação do portfólio das contratações centralizadas a nível nacional;
- VII- soluções, modelos e procedimentos propostos para contratações e licitações;
- VIII- critérios para o gerenciamento de risco das contratações e licitações;
- IX- critérios de avaliação das soluções implementadas no âmbito das contratações e licitações;
- X- manutenção ou modificação das soluções, modelos e procedimentos propostos para contratações e licitações.

Art. 4º As categorias estratégicas de contratações deverão ser definidas com fundamento em um ou mais dos seguintes critérios, sem prejuízo de outros relevantes para o objeto em decisão:

- I- relevância do valor da categoria do bem ou serviço;
- II- impacto institucional do bem ou serviço, especialmente para o alcance dos objetivos estratégicos do MPF;
- III- custo de todo o ciclo de vida do bem ou serviço, englobando despesas com manutenção, contratações correlatas/interdependentes e descarte;
- IV- possibilidade de centralização da seleção do fornecedor, da gestão contratual ou da operação;
- V- necessidade de melhoria da qualidade de bens, serviços, processos e procedimentos;
- VI- oportunidades de padronização de bens e serviços;
- VII- vantajosidade econômica, através da comparação entre a solução atual e proposta;
- VIII- ganhos de eficiência administrativa pela economia de tempo, recursos materiais e de pessoas;
- IX- sustentabilidade do modelo de fornecimento do bem ou serviço;
- X- alinhamento ao Plano de Logística Sustentável;
- XI- incorporação de tecnologias que permitam ganhos de eficiência, segurança, transparência, impessoalidade, padronização ou controle;
- XII- possível repetição dos processos de contratação nos próximos anos, de forma idêntica;
- XIII- possível alteração no modelo de contratação ao longo dos anos subsequentes, como incorporação de inovação, migração do modelo de aquisição para o de locação ou alteração em métricas de contratação;
- XIV- análise da necessidade de contratações para projetos estratégicos nos anos seguintes;

XV- análise das Políticas de renovação gradual de bens.

Art. 5º As reuniões deliberativas do Comitê de Contratações Estratégicas serão realizadas, ordinariamente, uma vez a cada semestre e, extraordinariamente, por convocação de seu Coordenador, de ofício ou mediante requerimento de qualquer de seus integrantes.

Art. 6º Esta portaria entra em vigor na data de sua publicação.

VI. CONSIDERAÇÕES FINAIS

Esta pesquisa partiu do pressuposto de que as compras públicas devem ser elevadas a uma posição estratégica. Com base nesse entendimento, o objetivo do estudo foi a proposição de um modelo de governança para as contratações estratégicas do MPF, que contribuísse para o alcance dos objetivos do processo licitatório definidos pela Lei n. 14.133/2021.

Para atingir tal objetivo, realizou-se uma pesquisa aplicada de abordagem qualitativa, com caráter exploratório e descritivo. O estudo incluiu uma ampla revisão bibliográfica e um estudo de caso único e holístico, que analisou os modelos de governança existentes para identificar aquele mais adequado à realidade do MPF, de forma unificada para todas as suas unidades gestoras. A metodologia incluiu análise documental, exame de registros arquivísticos e duas rodadas de entrevistas conduzidas pelo método Delphi, envolvendo dez especialistas no tema.

O principal resultado foi a elaboração de uma minuta normativa para a criação do Comitê de Contratações Estratégicas do MPF, composto pelos principais agentes da organização, que terá a responsabilidade de aprovar o Plano Estratégico de Contratações. A solução proposta atende aos requisitos do Art. 11 da Lei n. 14.133/2021 ao definir critérios objetivos para a definição das categorias estratégicas de contratações, assegurando a seleção da proposta mais vantajosa para a administração pública. Tal abordagem considera a análise do ciclo de vida do objeto, incentiva a inovação e promove o desenvolvimento nacional sustentável.

A pesquisa apresenta uma contribuição prática imediata: a minuta pode ser utilizada pelo MPF e pode ser adaptada e aplicada por outras instituições da administração pública.

Além disso, a implantação de um Plano Estratégico de Contratações plurianual, alinhado ao planejamento estratégico e ao orçamento institucional, tem o potencial de promover melhor uso dos recursos públicos, incentivar a inovação e garantir contratações mais vantajosas e sustentáveis.

Vale destacar que a pesquisa se baseou na opinião de especialistas do MPF, instituição com estrutura funcional singular no contexto da

administração pública brasileira. Dessa forma, estudos futuros poderão ampliar o escopo, envolvendo participantes de outras organizações públicas nas esferas federal, estadual ou municipal, além de avaliar os resultados práticos da implementação do modelo proposto.

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6. Bookmarks are useful: When you read any book or magazine, you generally use bookmarks, right? It is a good habit which helps to not lose your continuity. You should always use bookmarks while searching on the internet also, which will make your search easier.

7. Revise what you wrote: When you write anything, always read it, summarize it, and then finalize it.

8. Make every effort: Make every effort to mention what you are going to write in your paper. That means always have a good start. Try to mention everything in the introduction—what is the need for a particular research paper. Polish your work with good writing skills and always give an evaluator what he wants. Make backups: When you are going to do any important thing like making a research paper, you should always have backup copies of it either on your computer or on paper. This protects you from losing any portion of your important data.

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10. Use proper verb tense: Use proper verb tenses in your paper. Use past tense to present those events that have happened. Use present tense to indicate events that are going on. Use future tense to indicate events that will happen in the future. Use of wrong tenses will confuse the evaluator. Avoid sentences that are incomplete.

11. Pick a good study spot: Always try to pick a spot for your research which is quiet. Not every spot is good for studying.

12. Know what you know: Always try to know what you know by making objectives, otherwise you will be confused and unable to achieve your target.

13. Use good grammar: Always use good grammar and words that will have a positive impact on the evaluator; use of good vocabulary does not mean using tough words which the evaluator has to find in a dictionary. Do not fragment sentences. Eliminate one-word sentences. Do not ever use a big word when a smaller one would suffice.

Verbs have to be in agreement with their subjects. In a research paper, do not start sentences with conjunctions or finish them with prepositions. When writing formally, it is advisable to never split an infinitive because someone will (wrongly) complain. Avoid clichés like a disease. Always shun irritating alliteration. Use language which is simple and straightforward. Put together a neat summary.

14. Arrangement of information: Each section of the main body should start with an opening sentence, and there should be a changeover at the end of the section. Give only valid and powerful arguments for your topic. You may also maintain your arguments with records.

15. Never start at the last minute: Always allow enough time for research work. Leaving everything to the last minute will degrade your paper and spoil your work.

16. Multitasking in research is not good: Doing several things at the same time is a bad habit in the case of research activity. Research is an area where everything has a particular time slot. Divide your research work into parts, and do a particular part in a particular time slot.

17. Never copy others' work: Never copy others' work and give it your name because if the evaluator has seen it anywhere, you will be in trouble. Take proper rest and food: No matter how many hours you spend on your research activity, if you are not taking care of your health, then all your efforts will have been in vain. For quality research, take proper rest and food.

18. Go to seminars: Attend seminars if the topic is relevant to your research area. Utilize all your resources.

Refresh your mind after intervals: Try to give your mind a rest by listening to soft music or sleeping in intervals. This will also improve your memory. Acquire colleagues: Always try to acquire colleagues. No matter how sharp you are, if you acquire colleagues, they can give you ideas which will be helpful to your research.

19. Think technically: Always think technically. If anything happens, search for its reasons, benefits, and demerits. Think and then print: When you go to print your paper, check that tables are not split, headings are not detached from their descriptions, and page sequence is maintained.



20. Adding unnecessary information: Do not add unnecessary information like "I have used MS Excel to draw graphs." Irrelevant and inappropriate material is superfluous. Foreign terminology and phrases are not apropos. One should never take a broad view. Analogy is like feathers on a snake. Use words properly, regardless of how others use them. Remove quotations. Puns are for kids, not grunt readers. Never oversimplify: When adding material to your research paper, never go for oversimplification; this will definitely irritate the evaluator. Be specific. Never use rhythmic redundancies. Contractions shouldn't be used in a research paper. Comparisons are as terrible as clichés. Give up ampersands, abbreviations, and so on. Remove commas that are not necessary. Parenthetical words should be between brackets or commas. Understatement is always the best way to put forward earth-shaking thoughts. Give a detailed literary review.

21. Report concluded results: Use concluded results. From raw data, filter the results, and then conclude your studies based on measurements and observations taken. An appropriate number of decimal places should be used. Parenthetical remarks are prohibited here. Proofread carefully at the final stage. At the end, give an outline to your arguments. Spot perspectives of further study of the subject. Justify your conclusion at the bottom sufficiently, which will probably include examples.

22. Upon conclusion: Once you have concluded your research, the next most important step is to present your findings. Presentation is extremely important as it is the definite medium through which your research is going to be in print for the rest of the crowd. Care should be taken to categorize your thoughts well and present them in a logical and neat manner. A good quality research paper format is essential because it serves to highlight your research paper and bring to light all necessary aspects of your research.

INFORMAL GUIDELINES OF RESEARCH PAPER WRITING

Key points to remember:

- Submit all work in its final form.
- Write your paper in the form which is presented in the guidelines using the template.
- Please note the criteria peer reviewers will use for grading the final paper.

Final points:

One purpose of organizing a research paper is to let people interpret your efforts selectively. The journal requires the following sections, submitted in the order listed, with each section starting on a new page:

The introduction: This will be compiled from reference matter and reflect the design processes or outline of basis that directed you to make a study. As you carry out the process of study, the method and process section will be constructed like that. The results segment will show related statistics in nearly sequential order and direct reviewers to similar intellectual paths throughout the data that you gathered to carry out your study.

The discussion section:

This will provide understanding of the data and projections as to the implications of the results. The use of good quality references throughout the paper will give the effort trustworthiness by representing an alertness to prior workings.

Writing a research paper is not an easy job, no matter how trouble-free the actual research or concept. Practice, excellent preparation, and controlled record-keeping are the only means to make straightforward progression.

General style:

Specific editorial column necessities for compliance of a manuscript will always take over from directions in these general guidelines.

To make a paper clear: Adhere to recommended page limits.



Mistakes to avoid:

- Insertion of a title at the foot of a page with subsequent text on the next page.
- Separating a table, chart, or figure—confine each to a single page.
- Submitting a manuscript with pages out of sequence.
- In every section of your document, use standard writing style, including articles ("a" and "the").
- Keep paying attention to the topic of the paper.
- Use paragraphs to split each significant point (excluding the abstract).
- Align the primary line of each section.
- Present your points in sound order.
- Use present tense to report well-accepted matters.
- Use past tense to describe specific results.
- Do not use familiar wording; don't address the reviewer directly. Don't use slang or superlatives.
- Avoid use of extra pictures—include only those figures essential to presenting results.

Title page:

Choose a revealing title. It should be short and include the name(s) and address(es) of all authors. It should not have acronyms or abbreviations or exceed two printed lines.

Abstract: This summary should be two hundred words or less. It should clearly and briefly explain the key findings reported in the manuscript and must have precise statistics. It should not have acronyms or abbreviations. It should be logical in itself. Do not cite references at this point.

An abstract is a brief, distinct paragraph summary of finished work or work in development. In a minute or less, a reviewer can be taught the foundation behind the study, common approaches to the problem, relevant results, and significant conclusions or new questions.

Write your summary when your paper is completed because how can you write the summary of anything which is not yet written? Wealth of terminology is very essential in abstract. Use comprehensive sentences, and do not sacrifice readability for brevity; you can maintain it succinctly by phrasing sentences so that they provide more than a lone rationale. The author can at this moment go straight to shortening the outcome. Sum up the study with the subsequent elements in any summary. Try to limit the initial two items to no more than one line each.

Reason for writing the article—theory, overall issue, purpose.

- Fundamental goal.
- To-the-point depiction of the research.
- Consequences, including definite statistics—if the consequences are quantitative in nature, account for this; results of any numerical analysis should be reported. Significant conclusions or questions that emerge from the research.

Approach:

- Single section and succinct.
- An outline of the job done is always written in past tense.
- Concentrate on shortening results—limit background information to a verdict or two.
- Exact spelling, clarity of sentences and phrases, and appropriate reporting of quantities (proper units, important statistics) are just as significant in an abstract as they are anywhere else.

Introduction:

The introduction should "introduce" the manuscript. The reviewer should be presented with sufficient background information to be capable of comprehending and calculating the purpose of your study without having to refer to other works. The basis for the study should be offered. Give the most important references, but avoid making a comprehensive appraisal of the topic. Describe the problem visibly. If the problem is not acknowledged in a logical, reasonable way, the reviewer will give no attention to your results. Speak in common terms about techniques used to explain the problem, if needed, but do not present any particulars about the protocols here.



The following approach can create a valuable beginning:

- Explain the value (significance) of the study.
- Defend the model—why did you employ this particular system or method? What is its compensation? Remark upon its appropriateness from an abstract point of view as well as pointing out sensible reasons for using it.
- Present a justification. State your particular theory(-ies) or aim(s), and describe the logic that led you to choose them.
- Briefly explain the study's tentative purpose and how it meets the declared objectives.

Approach:

Use past tense except for when referring to recognized facts. After all, the manuscript will be submitted after the entire job is done. Sort out your thoughts; manufacture one key point for every section. If you make the four points listed above, you will need at least four paragraphs. Present surrounding information only when it is necessary to support a situation. The reviewer does not desire to read everything you know about a topic. Shape the theory specifically—do not take a broad view.

As always, give awareness to spelling, simplicity, and correctness of sentences and phrases.

Procedures (methods and materials):

This part is supposed to be the easiest to carve if you have good skills. A soundly written procedures segment allows a capable scientist to replicate your results. Present precise information about your supplies. The suppliers and clarity of reagents can be helpful bits of information. Present methods in sequential order, but linked methodologies can be grouped as a segment. Be concise when relating the protocols. Attempt to give the least amount of information that would permit another capable scientist to replicate your outcome, but be cautious that vital information is integrated. The use of subheadings is suggested and ought to be synchronized with the results section.

When a technique is used that has been well-described in another section, mention the specific item describing the way, but draw the basic principle while stating the situation. The purpose is to show all particular resources and broad procedures so that another person may use some or all of the methods in one more study or referee the scientific value of your work. It is not to be a step-by-step report of the whole thing you did, nor is a methods section a set of orders.

Materials:

Materials may be reported in part of a section or else they may be recognized along with your measures.

Methods:

- Report the method and not the particulars of each process that engaged the same methodology.
- Describe the method entirely.
- To be succinct, present methods under headings dedicated to specific dealings or groups of measures.
- Simplify—detail how procedures were completed, not how they were performed on a particular day.
- If well-known procedures were used, account for the procedure by name, possibly with a reference, and that's all.

Approach:

It is embarrassing to use vigorous voice when documenting methods without using first person, which would focus the reviewer's interest on the researcher rather than the job. As a result, when writing up the methods, most authors use third person passive voice.

Use standard style in this and every other part of the paper—avoid familiar lists, and use full sentences.

What to keep away from:

- Resources and methods are not a set of information.
- Skip all descriptive information and surroundings—save it for the argument.
- Leave out information that is immaterial to a third party.



Results:

The principle of a results segment is to present and demonstrate your conclusion. Create this part as entirely objective details of the outcome, and save all understanding for the discussion.

The page length of this segment is set by the sum and types of data to be reported. Use statistics and tables, if suitable, to present consequences most efficiently.

You must clearly differentiate material which would usually be incorporated in a study editorial from any unprocessed data or additional appendix matter that would not be available. In fact, such matters should not be submitted at all except if requested by the instructor.

Content:

- Sum up your conclusions in text and demonstrate them, if suitable, with figures and tables.
- In the manuscript, explain each of your consequences, and point the reader to remarks that are most appropriate.
- Present a background, such as by describing the question that was addressed by creation of an exacting study.
- Explain results of control experiments and give remarks that are not accessible in a prescribed figure or table, if appropriate.
- Examine your data, then prepare the analyzed (transformed) data in the form of a figure (graph), table, or manuscript.

What to stay away from:

- Do not discuss or infer your outcome, report surrounding information, or try to explain anything.
- Do not include raw data or intermediate calculations in a research manuscript.
- Do not present similar data more than once.
- A manuscript should complement any figures or tables, not duplicate information.
- Never confuse figures with tables—there is a difference.

Approach:

As always, use past tense when you submit your results, and put the whole thing in a reasonable order.

Put figures and tables, appropriately numbered, in order at the end of the report.

If you desire, you may place your figures and tables properly within the text of your results section.

Figures and tables:

If you put figures and tables at the end of some details, make certain that they are visibly distinguished from any attached appendix materials, such as raw facts. Whatever the position, each table must be titled, numbered one after the other, and include a heading. All figures and tables must be divided from the text.

Discussion:

The discussion is expected to be the trickiest segment to write. A lot of papers submitted to the journal are discarded based on problems with the discussion. There is no rule for how long an argument should be.

Position your understanding of the outcome visibly to lead the reviewer through your conclusions, and then finish the paper with a summing up of the implications of the study. The purpose here is to offer an understanding of your results and support all of your conclusions, using facts from your research and generally accepted information, if suitable. The implication of results should be fully described.

Infer your data in the conversation in suitable depth. This means that when you clarify an observable fact, you must explain mechanisms that may account for the observation. If your results vary from your prospect, make clear why that may have happened. If your results agree, then explain the theory that the proof supported. It is never suitable to just state that the data approved the prospect, and let it drop at that. Make a decision as to whether each premise is supported or discarded or if you cannot make a conclusion with assurance. Do not just dismiss a study or part of a study as "uncertain."



Research papers are not acknowledged if the work is imperfect. Draw what conclusions you can based upon the results that you have, and take care of the study as a finished work.

- You may propose future guidelines, such as how an experiment might be personalized to accomplish a new idea.
- Give details of all of your remarks as much as possible, focusing on mechanisms.
- Make a decision as to whether the tentative design sufficiently addressed the theory and whether or not it was correctly restricted. Try to present substitute explanations if they are sensible alternatives.
- One piece of research will not counter an overall question, so maintain the large picture in mind. Where do you go next? The best studies unlock new avenues of study. What questions remain?
- Recommendations for detailed papers will offer supplementary suggestions.

Approach:

When you refer to information, differentiate data generated by your own studies from other available information. Present work done by specific persons (including you) in past tense.

Describe generally acknowledged facts and main beliefs in present tense.

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Topics	Grades		
	A-B	C-D	E-F
Abstract	Clear and concise with appropriate content, Correct format. 200 words or below	Unclear summary and no specific data, Incorrect form Above 200 words	No specific data with ambiguous information Above 250 words
Introduction	Containing all background details with clear goal and appropriate details, flow specification, no grammar and spelling mistake, well organized sentence and paragraph, reference cited	Unclear and confusing data, appropriate format, grammar and spelling errors with unorganized matter	Out of place depth and content, hazy format
Methods and Procedures	Clear and to the point with well arranged paragraph, precision and accuracy of facts and figures, well organized subheads	Difficult to comprehend with embarrassed text, too much explanation but completed	Incorrect and unorganized structure with hazy meaning
Result	Well organized, Clear and specific, Correct units with precision, correct data, well structuring of paragraph, no grammar and spelling mistake	Complete and embarrassed text, difficult to comprehend	Irregular format with wrong facts and figures
Discussion	Well organized, meaningful specification, sound conclusion, logical and concise explanation, highly structured paragraph reference cited	Wordy, unclear conclusion, spurious	Conclusion is not cited, unorganized, difficult to comprehend
References	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring



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