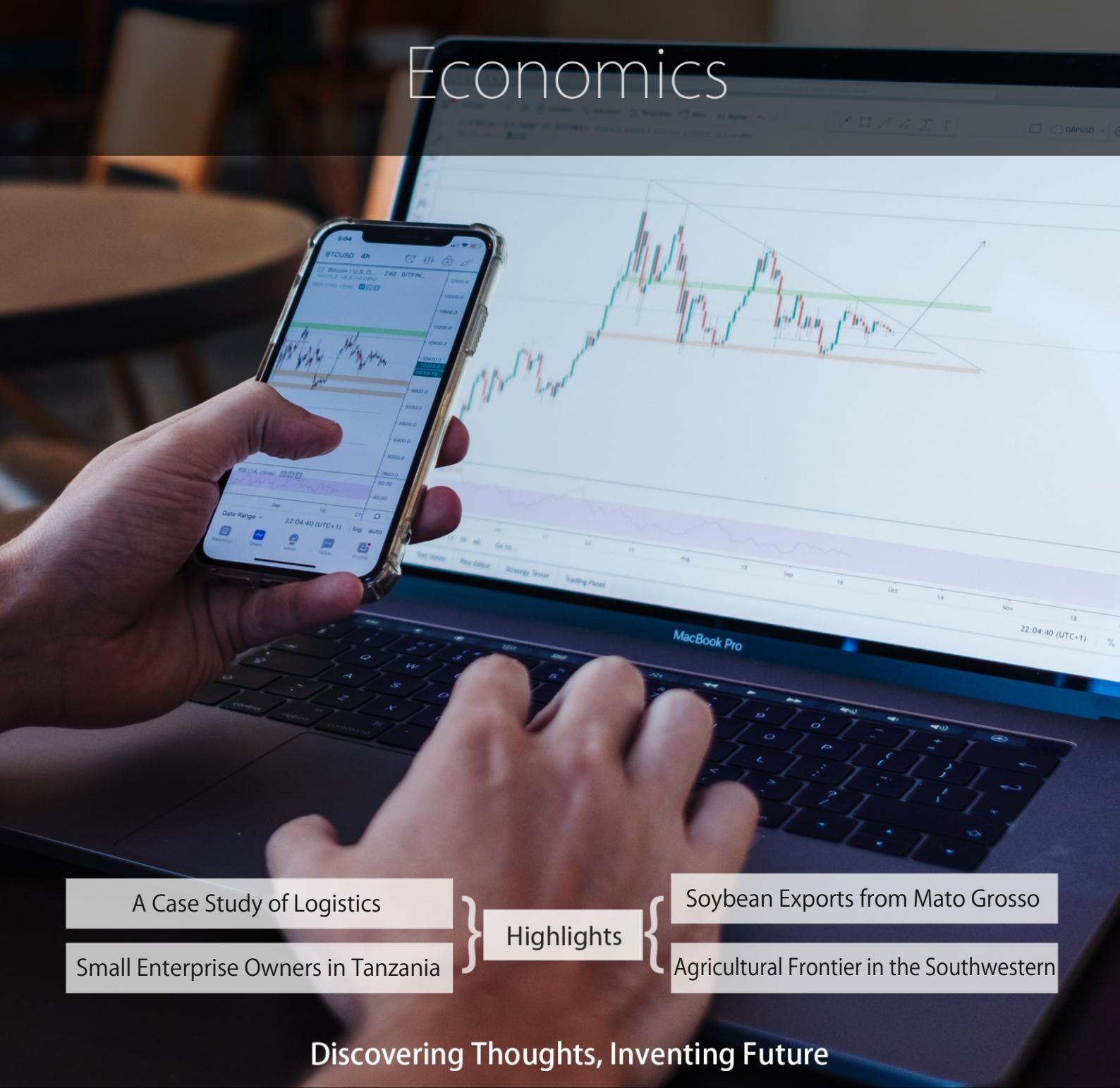


# GLOBAL JOURNAL OF HUMAN SOCIAL SCIENCES: E

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## GLOBAL JOURNAL OF HUMAN-SOCIAL SCIENCE: E ECONOMICS

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## Agribanditry and the Expansion of the Agricultural Frontier in the Southwestern Amazon (Brazil)

By Ricardo Gilson da Costa Silva

*Federal University of Rondônia*

**Abstract-** It analyzes the expansion of the agricultural frontier and extractivist economies in the Southwestern Amazon, where the social and environmental impacts predominantly affect protected territories and rural communities. Based on the concepts of *land conflicts* and *agribanditry*, this analysis evaluates the forces of neoextractivist capital, which are intertwined with agribusiness policies that primarily weaken environmental regulations and territorial rights to concentrate public lands, leading to the deterritorialization of Amazonian peoples and the regional peasantry.

**Keywords:** *frontier expansion, southwestern amazon, land conflicts, agribanditry.*

**GJHSS-E Classification:** LCC: HD1415



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Ricardo Gilson da Costa Silva

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**Keywords:** frontier expansion, southwestern amazon, land conflicts, agribanditry.

## I. INTRODUCTION

The text analyzes the territorial transformations underway in the Southwestern Amazon, relating the expansion of the agricultural frontier in protected areas and the territories of the traditional people and communities. The general assumption guiding the analysis is based on the understanding that, in the region, rural and territorial conflicts include conflicts against rights to nature, against traditional territories, and against the affirmation of the territorialities of the Amazonian peoples.

The concept of *agribanditry* (Silva, 2022) used in this analysis encapsulates the violence against traditional peoples and communities living in the Amazon Forest, highlighting new processes of political and economic expropriation that violate the rights guaranteed by the Federal Constitution to these social groups. In this regard, deforestation and systematic invasions of protected territories reveal the spatial demands of neoextractivist economies (Bunker, 1985). The dominant notion of *agro* as an economic model in the Amazon generates political coalitions with utilitarian economic and territorial perspectives, leading to the destruction of the Amazon biome, which, in practical terms, undermines the territorialized ways of life in the forest (CPT, 2022).

The region under analysis—the Southwestern Amazon—comprises the northern part of the state of

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Rondônia, the southern part of the state of Amazonas, and the eastern part of the state of Acre, which in recent years has experienced successive increases in deforestation, livestock expansion, invasions of protected areas, and conflicts over land and territory. The analysis is based on a specialized literature review, the organization of data provided by the Pastoral Land Commission (CPT, 2022), and field research conducted in the municipalities of Porto Velho (Rondônia), Humaitá, Lábrea, and Boca do Acre (southern Amazonas).

Following the introduction, the text is structured into three sections. The first section analyzes the process of economic modernization, driven by infrastructure policies, productive expansion, migration, and agricultural colonization, which has led to spatial differentiation in the Amazon, centred on: i) metropolitan regions and regional capitals; and ii) emerging agricultural regions. In the second section, the concept of agribanditry underlies the analysis of agrarian conflicts in the Southwestern Amazon. It argues that the forces of neoextractivist capital in line with agribusiness policies, weaken environmental regulations and territorial rights to concentrate public lands, leading to the deterritorialization of Amazonian peoples and the regional peasantry. In the final considerations, he connects the (re)insourcing of the Brazilian economy with the pressures on protected areas, where agribanditry emerges as a political process that drives agrarian and territorial conflicts in the Amazon.

## II. ECONOMIC MODERNIZATION AND SPATIAL DIFFERENTIATION IN THE AMAZON

The socioeconomic transformations in the Amazon, especially from the 1960s onwards, made it the focus of regional development policies. Initially implemented during the military dictatorship, these policies established an economic model based on the intensive exploitation of natural resources, expanding the commodification of nature and its corollaries at various scales—namely, socio-environmental impacts and the land-grabbing<sup>2</sup> of public lands.

<sup>2</sup> "Land grabbing refers to the unauthorized appropriation of public lands for economic purposes. This practice is widespread in the Amazon, driven by neoextractivist economies such as livestock, soy, timber, and mining, which transform the natural landscape into agricultural land, placing significant pressure on protected areas like Conservation Units, and Indigenous and Quilombola Lands.



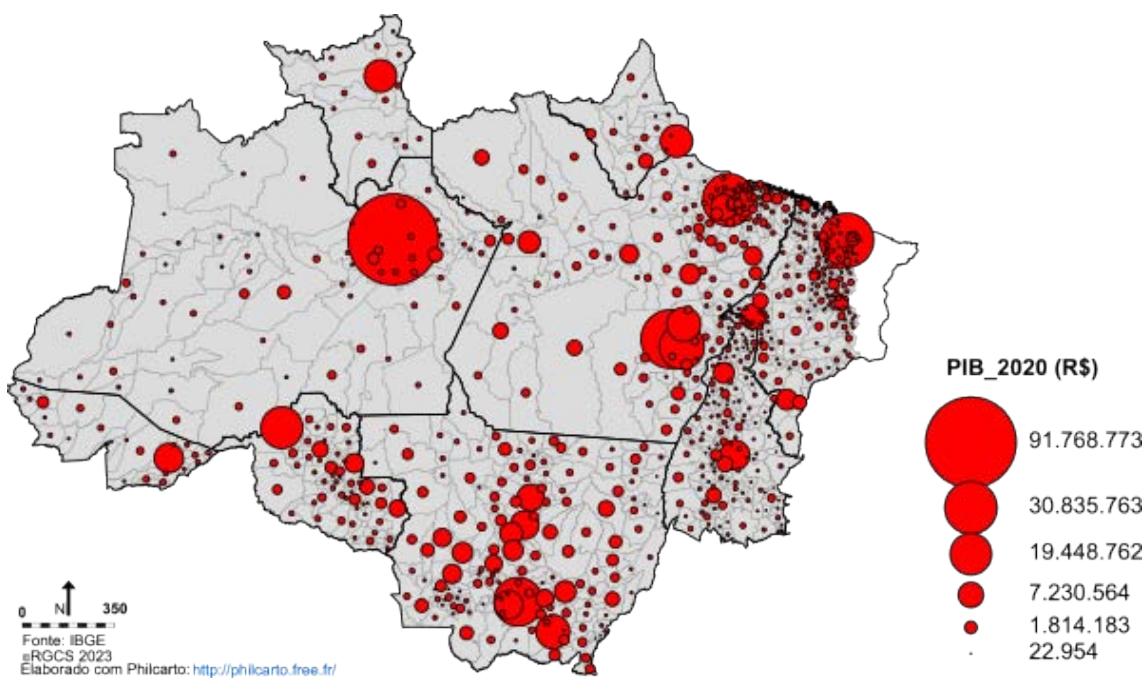
The scholarly literature on Amazonian studies has conceptualized these processes as *economic and demographic modernization*, *pioneering fronts*, and *frontiers* (Thery, 1976; Velho, 1979; Becker, 1982; Castro, 1997; Costa, 2005). In general, the regional economic dynamics led to converting forested areas into agricultural spaces, alongside colonization, migration, urban expansion, and infrastructure projects such as roads, hydroelectric plants, and mining. The state's "rediscovery" of the Amazon shifted public policies toward natural resource extraction and land commodification, turning the region into a reservoir of "natural assets." In this context, economic modernization refers to the techno-productive rationalization aimed at making the use of natural resources and territorial space more efficient for market circuits.

"Frontier" and "pioneering fronts" were analytical categories developed from geographical and social perspectives to explore the displacement of national society into the interior of the forest. They analyzed social conflicts in their scalar dimensions, the estrangement of lived worlds and the transient nature of space-time, where the social subjects affected by the frontier and economic modernization were subordinated in the 'new world' that capitalism created in the Amazon (Velho, 1972; Martins, 1997; Becker, 2004)." This group includes Indigenous peoples, traditional communities, riverside dwellers, rubber tappers, migrant squatters, colonization settlers, and community leaders—both men

and women (Amazonians and migrants)—who endured the hardships of Amazonian transformations, particularly during the 1960-1990 period, when major regional projects opened the Amazon to national and international economic and demographic flows.

The signs of these changes were rooted in urban expansion and the exploitation of nature by emerging social and economic groups, which were completely disconnected from the aesthetics of the Amazon. Society, shaped by the colonization occurring in the region, did not—and still does not—share an identity with the Amazon that welcomed it. This represents the invasion of the Center-South of Brazil into the Hileia, with its primary manifestations seen in the patterns of deforestation, roads, monocultures, environmental crime, new frontiers, and invasions of protected territories (Traditional Territories and Conservation Units).

Part of these processes took place during the military dictatorship, a period when the Amazon became a genuine laboratory for economic policies and violence against Indigenous peoples and traditional communities. Social conditions in the Amazon, particularly in rural areas, remain shaped by an authoritarian vision that viewed the region as a space for state expansion, neoextractivism, and colonization, influencing the relationships between the emerging society, nature, Amazonian peoples, and their traditional territories (CPT, 2022).



Source: IBGE

*Map 1:* Legal Amazon, GDP distribution by municipality (2020)

Along this path, the image of progress was synonymous with the authoritarian state, which forged

alliances with regional elites and emerging social groups, stemming from agricultural colonization and

migration policies. These groups would later form new local powers, built upon urban expansion and neoextractivist economies. The regional impact of economic growth in terms of gross domestic product (GDP) can be observed. In 2022, the GDP of the Legal Amazon, encompassing 772 municipalities across the states of the North region, Mato Grosso, and part of Maranhão, totaled R\$752,932,026; in 2002, this figure was R\$103,374,282. This means that over the past twenty years, the Amazon's economy has grown sevenfold, while Brazil's national economy has increased fivefold during the same period (IBGE, 2023).

The mapping of GDP by municipality indicates a spatially diffuse pattern (Map 1), shaped by federal interventions and state adjustments that prioritized the internalization of the regional economy. Spatial differentiation in the Amazon is evident in two main processes: first, the *centrality of metropolitan regions and regional capitals*, where economic growth is most prominent. Thus, the metropolises of Manaus, Belém, and São Luís take center stage, exerting influence in their respective states and playing a leading role in the economic dynamics. In smaller states, such as Acre, Roraima, and Amapá, the economic centrality of regional capitals is more significant for the state, given the low economic dynamism and limited productive internalization, constrained by insufficient territorial connectivity infrastructure.

The second process is characterized by *the centrality of agricultural regions*, reflected in the distribution and contribution of GDP by small and medium-sized municipalities, driven by the expansion of the agrarian economy and its connections to industrial plants and the services they require. The centrality in this process stems from agricultural colonization that began in the 1970s, supported by substantial government incentives for interregional migration, which shaped the territorial formation of these Amazonian subregions. This applies to the states of Mato Grosso, Tocantins, and Rondônia, where a network of smaller cities, economically subordinate to the political capitals, extends the regional economy, increasing the participatory distribution of municipalities in the production process. These situations are observed in the interior of Rondônia, particularly along the BR-364 highway corridor; in Mato Grosso, along the Cuiabá-Santarém highway (BR-163); in Tocantins, along the Belém-Brasília highway corridor (BR-010); and similarly, in the south and southeast of Pará, centered around Marabá.

From this second process—the centrality of agricultural regions—two interpretations emerged regarding their regional impact. Environmental studies and socio-environmental movements have called it the “arc of deforestation” (Domingues & Bermann, 2012). Driven by the growth of soy, livestock, and timber extraction, it encompasses 256 municipalities with high

rates of deforestation, extending from western Maranhão, through the south and southeast of Pará, Mato Grosso, and Rondônia, and reaching the region of Rio Branco, the capital of Acre (ISA, 2019). The Belém-Brasília, Cuiabá-Porto Velho-Rio Branco, and Cuiabá-Santarém Road corridors serve as fronts for the expansion of neoextractivist economies, carrying a strong political and symbolic appeal of agribusiness.

In turn, Becker (2004) suggests that this vast region broadly represents the “arc of consolidated settlement”, characterized by networks of cities interconnected by roads and anchored in the leading agricultural, livestock, and agribusiness activities. It is a segment of the agrarian economy (grains and livestock) and industrial chains (industries, agro-industries, and services related to agricultural demands) characterized by technological integration and its connection to production chains open to external flows. The author argues that the arc of consolidated settlement emerges as a sub-region, as public policies related to colonization, migration, and agriculture have provided regional coherence to this vast area of the Amazon.

In the 1990s, the federal government established the National Integration and Development Axes (Enids, in Portuguese), with an investment strategy focused on building logistics infrastructure to support Brazilian exports. In the Amazon, two axes were implemented: the West Axis and the Araguaia-Tocantins Axis. Particularly in the Southern Amazon (states of Rondônia and Mato Grosso) and southeastern Pará, the strategic vision for this region combined the expansion of agro-industry and agriculture, positioning it as a high-capacity regional logistics hub. The export demands for soybeans, corn, and meat required investments in logistics, which materialized with the opening of the Madeira-Amazonas waterway (1997), including the Hermasa/Amaggi and Cargill ports in Porto Velho, the Hermasa/Amaggi port in Itacoatiara, Amazonas, and the Cargill port in Santarém, western Pará (Costa Silva, 2013).

We can suggest that the colonization and migration policies developed between the 1960s and 1990s, alongside major infrastructure projects, produced spatial differentiation in the Amazon, with outcomes that are empirically evident in various aspects of social and economic relations. The formation of the arc of settlement led to the establishment of an agricultural region that, by intensifying agrarian production, pushed the frontier into other Amazonian subregions that had not yet faced the pressures of colonization and agriculture.

The economic growth and spatialization of the agricultural GDP in the Legal Amazon promoted political and social cultures centered on agricultural expansion, which entails increased consumption of natural resources. This contrasts with the traditional extractivist model, which dominated in the region until the 1960s,



when cities and rural communities were shaped by river flows, and the forest was not perceived as a commodity. The agricultural and urban frontier introduced a logic of territorial expansion into the forest's interior.

In recent decades, the expansion of soybean cultivation has displaced livestock and logging activities to other Amazon subregions, either to western Pará along the BR-163 highway corridor or along the BR-364/230 highway routes, extending into northern Rondônia, eastern Acre, and southern Amazonas—a region we refer to as the Southwestern Amazon.

### III. AGRIBANDITRY AND AGRARIAN CONFLICTS IN THE SOUTHWESTERN AMAZON

The Southwestern Amazon encompasses the southern part of Amazonas, eastern Acre, and northern Rondônia. It is a sub-region traversed by the BR-364 (Rondônia-Acre), BR-317 (Acre-Amazonas), BR-230 (Transamazônica), and BR-319 (Porto Velho-Manaus) highways. It includes the regional capitals Porto Velho (Rondônia), Rio Branco and surrounding areas (Acre), and the cities along the Transamazônica—Humaitá, Apuí, Lábrea, and Boca do Acre—accessible via the BR-317. The Madeira River plays a significant role in the region due to its network of territorialized riverine communities, hydroelectric plants, waterways, and private ports, and its status as a critical export corridor for commodities produced in western Mato Grosso and Rondônia (Silva & Costa Silva, 2022).

In this region, the Jirau and Santo Antônio hydroelectric plants on the Madeira River were established alongside road and waterway infrastructures, including the construction of two bridges over the Madeira River. One bridge, at the border with Bolivia, expanded the road network along the BR-364, facilitating more frequent connections between Rondônia and Acre. The second bridge, in Porto Velho, links to the BR-319, accelerating the agricultural frontier in northern Rondônia and southern Amazonas, with Humaitá as a focal point.

At the governmental level, federal and state authorities have proposed the Abunã-Madeira Sustainable Development Zone project (Sudam, 2021) for this region, initially referred to as Amacro (an acronym for Amazonas, Acre, and Rondônia). Governmental concern stems from evidence that this area has transformed into a new agricultural frontier characterized by expanding deforestation, invasions of protected areas, and increasing agrarian and territorial conflicts. This process accelerated under President Jair Bolsonaro's administration, during which public agencies responsible for territorial management and environmental oversight (FUNAI, Ibama, Icmbio) were systematically weakened, undermining their institutional roles. This often included limiting the participation of the

Federal Police and Armed Forces in enforcement actions against illegal mining within conservation units and on Indigenous lands (Silva, Costa Silva & Lima, 2019).

The Southwestern Amazon faces the impacts of the encroachment of farming, mining, logging, and land-grabbing activities. A portion of the agricultural projects are funded by public banks, increasing pressure on the Amazon rainforest through rising land prices and expanding the agricultural frontier. According to an analysis by Bianca Santos and colleagues, in 2022, the Amacro region "accounted for 36% of deforestation in the Legal Amazon. 52% of deforestation was concentrated in four municipalities, with private properties responsible for 46% of the deforestation" (Santos *et al.*, 2023, pp. 2399-2402). Indeed, the interconnected deforestation fronts along the highways position Porto Velho (Rondônia), Lábrea, Apuí, and Novo Aripuanã (all along the Transamazônica highway) as central hubs of environmental crime and agrarian conflicts.

These processes, observed during field research, were described by residents of the Transamazônica towns as the "Rondonization"<sup>3</sup> of the Amazon, indicating that the expansion fronts, driven by the agrarian and timber sectors of Rondônia, are extending to land acquisition and land grabbing, alongside systematic invasions of protected areas, as seen in Boca do Acre, Lábrea, Apuí, and Realidade (a town in the municipality of Humaitá).

In this context, we propose the concept of agribanditry as "[...] a violent and aggressive face of the 'modern' Brazilian agribusiness" (Costa Silva, 2022, p. 108) that opposes environmental policies, but, above all, targets the protected territories of Indigenous peoples and traditional communities. Therefore, agribanditry emerges as a "[...] strategy expressed in violence against leaders and activists of social movements, environmental crime and invasive practices in protected areas, financing the theft of timber, mining, land grabbing and expulsion/threats to subjects living in the territory" (*op. cit.*, p. 108). Agribanditry primarily targets so-called protected areas and leaders of social organizations who denounce these practices, such as activists and defenders of human and territorial rights. In other words, agribanditry operates against collective resources (state-owned natural resources), protected territories (public land designated for collective use), and the territorialities of Amazonian peoples (their cultures and ways of life).

<sup>3</sup> During field research in the southern region of the state of Amazonas, near the border with Rondônia, many rural residents referred to "Rondonization" as the process of migration of agricultural and population capital from Rondônia, aimed at opening the forest for logging, livestock farming, and the land market.

The geography of land conflicts is expanding particularly in the Southwestern Amazon, driven by the advancing frontier. It is essential to differentiate among various categories of analysis related to these conflicts. The Pastoral Land Commission defines *land conflicts* as all "[...] actions of resistance and confrontation for the possession, use, and ownership of land and access to natural resources [...]" (CPT, 2022, p. 12). Within the context of these conflicts, agrarian and territorial conflicts can be distinguished. *Agrarian conflicts* refer to incidents involving land tenure in areas that are land-grabbed, unproductive, or occupied by social movements advocating for agrarian reform. Typically, the participants in these processes are squatters, landless individuals, small landowners, settlers, and peasants occupying or defending land ownership or possession through family-based work. *Territorial conflicts*, on the other hand, pertain to the defense of protected or claimed territories, where territoriality is expressed through Indigenous peoples, quilombola communities, and traditional communities. Indigenous lands, quilombola territories, and Conservation Units (UCs) constitute the set of protected territories—a geographical space of experience, usufruct, and social reproduction guaranteed by the Federal Constitution (Souza Filho et al., 2015). Agribanditry operates primarily in protected areas, aiming at the appropriating traditional territories or environmental plunder, as the economy of ecological crime becomes a strategy for both capital accumulation and the deterritorialization of Amazonian peoples.

In the first scenario, the focus is on defending and securing land tenure and access to family-owned property; in the second, it concerns federal or state public lands designated for collective use and social reproduction. Thus, both the struggles of settlers and those of Indigenous peoples and traditional communities are fundamentally struggles for territory, as they represent a collective rooted in family-based work, the defense of nature, and the recognition of social and territorial rights. The collective, family-oriented, sociocultural, and public nature of the territories of the peasantry, Indigenous peoples, and traditional communities contrasts sharply with the privatizing, exclusionary, deterritorializing, and monopolistic nature of capital that thrives in neo-extractivist economies. In this context, rural settlements, characterized by productive diversity and family labor, are territories of the peasantry—territories of life! Private family property should not be conflated with capitalist property, as is the case in areas dominated by monoculture. There are substantial sociological and geographical differences.

In the past, the so-called land-grabbing industry targeted vacant public lands<sup>4</sup>. Today, its strategy, in

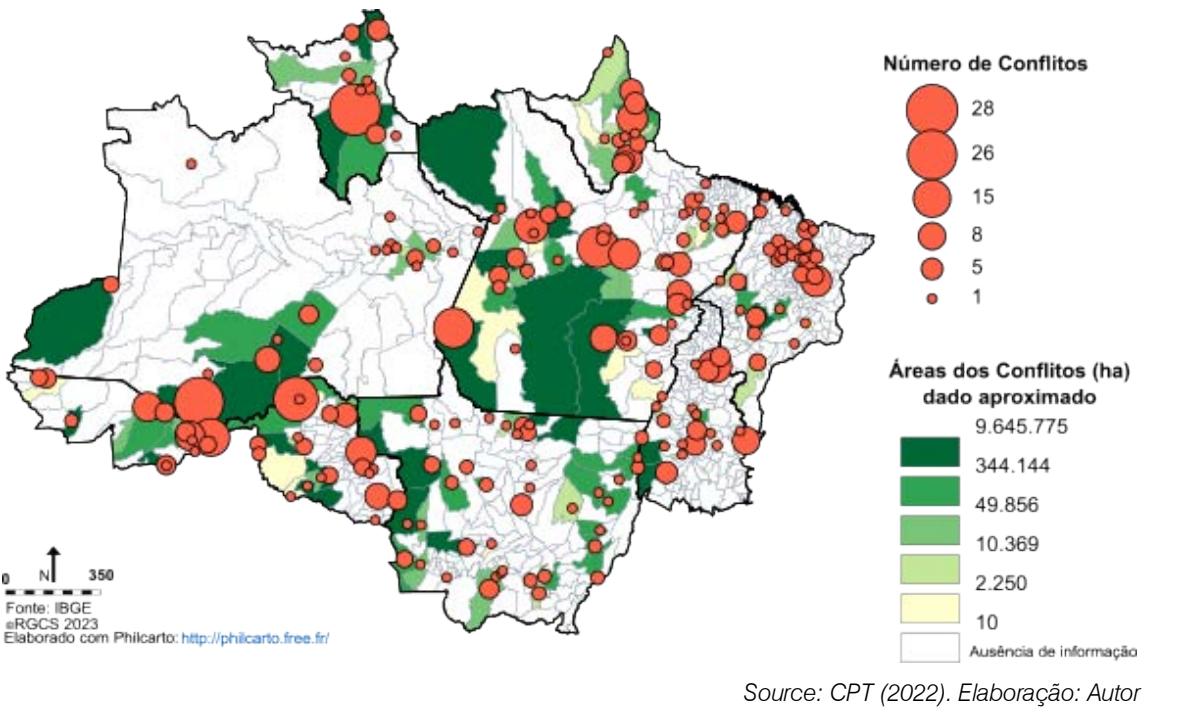
alliance with agribanditry, targets protected areas, often mobilizing and financing small squatters, effectively creating a form of "outsourced land grabbing". Consequently, the push to reduce protected areas, as seen in the Legislative Assemblies of Acre, Rondônia, Mato Grosso, and Amazonas, aligns with the urgency of land regularization, which has become a pathway for the legalization of land grabbing. In general, most of the disputed areas have shifted in recent years to protected territories, legally recognized by the State (Federal and State).

Territorialities in the agrarian world position the Amazon as a space for the social reproduction of the peasantry, Indigenous peoples, and traditional communities, especially due to the concentration of protected areas in the region. In turn, given the significant number of public lands designated as protected areas, the struggle over land has evolved into a dispute over territory—a trend that is likely to intensify with the expansion of agribusiness.

<sup>4</sup> "Terras Devolutas" are public lands not allocated by the government and that has never been part of private assets (private property), even

if they are irregularly occupied. The term 'devoluta' relates to the concept of land returned or to be returned to the state. In the Amazon, its economic occupation was stimulated by the government, often without proper land regularization, a situation that persists in several Amazonian states.





Source: CPT (2022). Elaboração: Autor

*Map 2: Conflicts Over Land and Conflict Area in the Legal Amazon (2021)*

Costa Silva (2022, p. 109), analyzing the landscape of land conflicts in 2021 (Map 2), highlights the scale of these conflicts in the Amazon:

- In 2021, the Amazon accounted for 53% of land conflicts in Brazil and involved 62% of the families affected.
- Data from the Pastoral Land Commission (CPT) indicates that 97% of conflict areas are in the Amazon, totaling 68,881,076 hectares. Most of these conflict areas are composed of Indigenous territories, rubber-tapping or extractivist territories—in other words, territories of Indigenous peoples and traditional communities that are legally protected.
- In the Amazon, 65% of threats of expulsion, 67% of pesticide contamination, 79% of illegal deforestation, 87% of expulsions, 81% of land grabbing, 82% of invasions, 70% of instances of violence by hired gunmen, 75% of state omissions or complicity, and 72% of violations of living conditions occurred.
- Extractivist capital was responsible for 75% of land conflicts, while state institutions accounted for 18%. Among the primary causes of conflicts, farmers were responsible for 27%, land grabbers for 14%, national and international entrepreneurs for 14%, loggers for 12%, and the federal government for 11%.
- As for social groups affected by these conflicts, Indigenous peoples (30%) suffered the highest rates of aggression, followed by squatters (22%), quilombolas (13%), and landless individuals (13%).

These data reveal the accelerated expropriation affecting all social segments, characterized by family-based work and multi-territoriality, as well as a commitment to the defense of nature. Territories are collective spaces of lived experiences, as seen in the experiences of Amazonian peoples, who face attacks from political groups and organic institutions of neoextractivist economies, with agribusiness serving as the political, economic, and territorial driver of the dismantling of environmental protections in the Amazon.

In the National Congress, the ruralist-agribusiness caucus imposes strategies to destabilize protected areas, traditional territories, and the lands of the regional peasantry. Their institutional agenda seeks to reduce environmental protections and diminish the social and territorial rights established in the legal framework. Especially in the Amazon, agribanditry acts to weaken the territorial rights of Indigenous peoples and traditional communities.

In the Southwestern Amazon, land conflicts are distributed as follows: in Acre, 59 land conflicts were recorded in 2021, with squatters (42%) and rubber tappers (41%) being the groups that experienced the most violence. In Rondônia, 52 conflicts were recorded, with the landless (44%) and Indigenous peoples (21%) being the main victims. In Amazonas, with 62 conflicts, Indigenous peoples and squatters each accounted for 41% of the recorded instances of violence. Regarding the causes of these conflicts, the distribution is as follows: in Acre, farmers are primarily responsible for disputes (73%); in Rondônia, the main culprits are

farmers (29%), loggers (21%), and land grabbers (15%); in Amazonas, the key actors are farmers (41%), land grabbers (22%), and loggers (16%) (CPT, 2021).

The states of Acre and Amazonas have recently faced the most intense pressures from neoextractivist economies. In the invaded territories of Acre, squatters who have long inhabited rural areas without land regularization stand out, as their lands are increasingly encroached upon by farmers and loggers from Rondônia. For rubber tappers, a traditional group historically rooted in extractivist reserves, their territories are particularly affected by agribanditry practices. In Amazonas, this situation impacts both Indigenous peoples and squatters, putting at risk the set of established Indigenous lands and precarious conditions of tenure and security, threatened by a wave of land grabbing and environmental exploitation. It is noteworthy that until a few years ago, this process did not have such a significant presence in Amazonian agrarian dynamics. In Rondônia, a state shaped by agricultural colonization and with a history of agrarian conflicts, such as the events in Corumbiara (1995), recent conflicts have increasingly impacted the landless population and Indigenous peoples.

In general, the social groups most affected by aggression are the most vulnerable in the Amazonian agrarian context. They find themselves in precarious conditions of land tenure or demarcated territories (protected areas) that are invaded by agribanditry. Those responsible for these conflicts represent the neoextractivist political and economic agenda (farmers, land grabbers, miners, loggers, traders, and entrepreneurs), aligning with the political and territorial vision of agribusiness (CPT, 2022).

Agribanditry operates on several levels: at the governmental level, it aims to weaken public institutions for environmental and territorial protection; in the political arena, it engages in the National Congress and Legislative Assemblies, proposing bills and other legislative instruments that remove, reduce, or obstruct the environmental and territorial rights of Indigenous peoples and traditional communities. At times, they propose bills to grant amnesty, justify, or relax regulations on environmental crimes. In the social sphere, agribanditry manifests through boastful and imposing agricultural propaganda; in media statements claiming an exaggeration of environmental protections in Brazil; and in the narrative of agriculture as a symbol of modernity and the sole path to economic development for the Amazon, a message that finds acceptance in areas experiencing deforestation and frontier expansion. In these same areas, criticisms are directed toward public environmental protection agencies, social organizations advocating for Amazonian peoples and their territories, and, to a certain extent, research institutions and their researchers.

#### IV. CONCLUDING REMARKS

The continuous growth of exports of primary products and their increasing contribution to Brazilian GDP is what economists generally refer to as the (re)insourcing of the economy (Lamoso, 2020). One of the spatial effects of this process is the relocation of neoextractivist economies to the Amazon, with implications that manifest in the invasions of protected areas and traditional territories. This represents, in essence, a rush for "new lands" and the large-scale appropriation of natural resources, converting them into physical stocks for neoextractivist economies.

However, these "new lands" are often already territorialized by Amazonian populations. Traditional communities sustain social life and shared territorialities in these areas, and their territorial rights have been recognized by the Brazilian State. For the social groups who live off the fields, forests, and waters, forming Amazonian multi-territorialities, the advance of the frontier into the Southwestern Amazon not only threatens their relationship with the land and collective labor but also imposes asymmetrical social relations that tend to weaken the social rights and territories guaranteed by the Federal Constitution.

In other words, the issue is not only about land access through possession and rural settlements, but also about the establishment of territories for Indigenous peoples and traditional communities, which are now targeted by agribanditry. This threatens what the Brazilian State, through the Constitution and public agencies, has minimally recognized as rights and dignity for those who live off the land and their territories—those who form the collectives that shape this country.

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# Mapping Least Cost Transport Corridors for Soybean Exports from Mato Grosso: A Case Study of Logistics from Farm to Port

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**Abstract-** Brazil and the US are world's largest soybean exporters, and account for more than 80% of the global exports, most of which, destined to China. Hence, the producers of both countries compete directly to place their grain in the same market, and their logistic costs are essential to their competitiveness. For the producers in Mato Grosso (MT), Brazil's largest producing state and most distant from ports, choosing the best route and transport mode materially impacts their competitiveness. The farm to port logistics, which refers to the inland transportation from the agricultural production point to the exporting shipping port, is central to reducing the total logistics costs, and depending on the transport mode choice, also impacts the environment differently. Various studies have evaluated routes or transport modes individually by analysing their impact, and some give an insight into the least cost (LC) choice, yet to the best of our knowledge, there are none determining the detailed spatial geographic boundaries of the optimum choice transport corridors for each micro geographic location within MT.

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**GJHSS-E Classification:** LCC: HD9049.S62



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# Mapping Least Cost Transport Corridors for Soybean Exports from Mato Grosso: A Case Study of Logistics from Farm to Port

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**Abstract-** Brazil and the US are world's largest soybean exporters, and account for more than 80% of the global exports, most of which, destined to China. Hence, the producers of both countries compete directly to place their grain in the same market, and their logistic costs are essential to their competitiveness. For the producers in Mato Grosso (MT), Brazil's largest producing state and most distant from ports, choosing the best route and transport mode materially impacts their competitiveness. The farm to port logistics, which refers to the inland transportation from the agricultural production point to the exporting shipping port, is central to reducing the total logistics costs, and depending on the transport mode choice, also impacts the environment differently. Various studies have evaluated routes or transport modes individually by analysing their impact, and some give an insight into the least cost (LC) choice, yet to the best of our knowledge, there are none determining the detailed spatial geographic boundaries of the optimum choice transport corridors for each micro geographic location within MT. The producers in MT have different transport corridors they can choose for their farm to port logistics, and depending on their location, might not be aware of the LC route. Other stakeholders, like policymakers and logistics operators, can also benefit from the learnings, and further enhance competitiveness of the soybean exports from MT. This exploratory case study resulted in a geographic map of MT, outlining the spatial boundaries that determine the LC transport corridors to export soybeans by evaluation of the lowest cost routes, applying the one-at-a-time (OAT) method to model the LC transport costs from farm to port, which are the most relevant costs to competitiveness. The OAT method allowed observations of single changes to the model and their impacts on costs while testing the different transport choices, enabling a clear identification of the LC transport corridors for each micro geographic location. To validate the results, we performed a Sensitivity Analysis (SA) evaluating the impact of changes in transport costs on the model's different transport corridors. Additionally, the results confirmed that using multimodality increases the competitiveness and identified the best route and transport modes of Brazilian soybeans exported from MT for each geographic location, reduces environmental impacts, and can help policymakers and logistics operators to focus on potentializing improvements in their respective strategies.

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## I. INTRODUCTION

Since 2013, Brazil is the leading global exporter of soybeans (Lee et al., 2016; Salin, 2014; Salin; Somwaru, 2018), and together with the United States (US) account for more than 80% of global soybean exports, which means that they are competitors in importing markets. China, which was responsible for 62.6% of the global imports of soybeans in 2017, is the largest importer. Brazil was responsible for 48.4%, and the US for 39.4%: together, they represented 87.8% of all Chinese imports of soybeans (Clever, 2018). That same year, Brazil produced 103.8 million tons, of which 70.3% was exported (CONAB, 2017a), implying that 62% of the Brazilian exports were destined to China. Soybeans accounted for US\$ 25.7 billion, or 11.8% of the country's exports, and were the single most relevant item in the balance of trade (MDIC, 2018).

In both countries, the major soybean producing regions are located in the heart of the country, distant from the exporting deep-water ports (EDP). In the US, the main producing area, is the Midwest (Salin and Somwaru, 2018), which can be considered the equivalent of the Centro-Oeste, which is Brazil's Midwestern region, and also the country's leading producer (CONAB, 2017a). In both regions, China is the primary destination, and the port of Shanghai is commonly used as the port of reference (Lopes et al., 2017; Lopes; Lima; Ferreira, 2016; Salin, 2014; Salin; Somwaru, 2018; USDA, 2018a). In Brazil, the Midwest was responsible for 41.9% of the country's soybean exports, and the state of MT alone accounted for 28.2% in 2017 (CONAB, 2017a), but is also the most distant from the EDP (IMEA, 2018a).

Therefore, the main competition between Brazilian and US producers, responsible for more than 80% of the global exports of soybeans, is in the total cost at which the commodity is delivered at the port of destination, which includes all costs from the production to the international shipping, and the transport costs from the producer's farm through to the EDP known by the term of "farm to port" (Salin and Somwaru, 2018).

Compared to the US transport costs, the farm to port cost of MT is higher than that of the US Midwest,



whereas the difference of the international shipping costs between the Brazilian and the US EDP to China is not as expressive as those of the farm to port (USDA, 2018a). Therefore, to compete in the international market, the negotiated Brazilian soybean farm gate prices must necessarily be lower to have the same total landed cost at the port of Shanghai. While the average farm to port transport costs in the US represent 13.7% of the total landed cost in Shanghai, that of northern MT stands at 18.4% in the 4th quarter of 2018 (USDA, 2019).

The cost difference of farm to port logistics in MT, of nearly 5% more than those of the US Midwest, are materially relevant to the competitiveness of the producers in MT.

Soybeans are grains that will not deteriorate for many months if the principles of adequate storage and handling are ensured (Charles and Hurlburgh, 2008). The grain should be kept free from humidity, high temperatures, and plagues. Therefore, the time variable of the transport logistics is not as important as that of the costs. Considering the distance of MT from the EDP and the high costs of road transportation, which is typically used to transport grains in Brazil, multimodal transport, which is the combination of different modes of transport, can be the best option to reduce domestic transport costs, or farm to port costs, despite often being slower.

With the rapid increase in export volumes of soybeans using the EDP capable of handling the commodity in the last decade, attention has been given to the Northern Arc ports, responsible for an increase in exports from 7.2 million tons of maize, soybean grains and meal in 2009, to 27.7 million tons in 2017 (Fayet, 2018). The Northern Arc, which is a term that started to be used by the Brazilian Confederation of Agriculture (CNA) in early 2000 (Marinha, 2013, 2010), was initially considered the EDP of the Amazon Basin and the port of São Luís, located on the northern part of the Brazilian coast. By 2009, the concept evolved to consider the Northern Arc all EDP northwards of the sixteenth parallel south and started to be used in formal reports (CONAB, 2017a; Deputados, 2016; Fayet, 2018). Studies suggest that the Northern Arc should be favoured by the producers north of the sixteenth parallel south, but do not address the optimal balance between the Northern Arc and the remaining EDP considered the Southern Arc. The imaginary line of the sixteenth parallel south is also not a precise division of the areas of influence of the Northern and Southern Arcs. Hence, producers located in MT, which is divided by sixteenth parallel south, have the option to use both the Northern and Southern Arcs, and no clear indication of the optimal choice for each micro geographic location.

This Operational Research (OR) is an exploratory case study based on empirical research and quantitative modelling (Will M. Bertrand and Fransoo,

2002), comparing the currently available transport options to identify the LC corridors for farm to port exports of soybeans from MT. It covers the identification of the LC corridors for each specific municipality within the state of MT, aiming to determine the geographic spatial borders that will present the optimum choice export corridor, and generates a detailed geographic map based on the model indicating the most competitive system-wide final cost of the exported soybeans. Additionally, this research also aims to identify the most competitive transport mode or combinations of modes for each one of the identified transport corridors, and as a result, will identify the ideal balance of which of the two exporting arcs the producers of MT should favour. The findings are also valuable to other stakeholders, such as policymakers and logistics operators, that can benefit from insights to further enhance competitiveness through targeted public policies and logistics investments.

Furthermore, current global supply chains are under duress, with a string of events since 2018 that directly impact logistics costs and operational challenges to international shipping trade. The most impacting events consist of the US-China trade war that flared in 2018 with a 25% Chinese tariff on numerous items originating in the US, including soybeans (Biesheuvel, 2018); the global Coronavirus epidemic and subsequent disruptions in 2020 and 2021 (Vilko and Hallikas, 2024); and more recently, the Red Sea crisis (Economist, 2023) and severe drought of the Gatun Lake in Panama since 2023 (Barnes et al., 2024), causing disruptions to the Red Sea and Panama Canal shipping routes and resulting in severe delays in international shipping routes and logistics costs which persist to date. In this harsh environment, potential cost reductions of farm to port logistics are ever more important to producers in MT, as these are more predictable and a choice of the producer, once aware of the LC transport corridors options and their respective costs and shipping routes.

The scope of this paper does not evaluate the available capacities of the individual transport modes and corridors, and we suggest further complementary studies that can identify restrictions and therefore strengthen the framework of investment opportunities for the private and public sector to enhance the competitiveness of the farm to port transport costs from soybeans originated in MT.

## II. THEORETICAL FRAMEWORK

The theoretical framework contextualizing and defining the key concepts are organized two sections for a clear comprehension work being developed.

### a) Background

Production and exports of soybeans in MT, a leading producer and exporter of agricultural



commodities, have dramatically increased in the last two decades at a faster pace than the expressive growth of the rest of Brazil, (IMEA, 2018a). In 2018, MT exported 79.4% of its soybean production, including soybean meal and oil. In the same year, 45.2% of the 19.8 million tons of soybean grains were transported to the EDP in northern Brazil, and the remaining 54.8% to the EDP in southern Brazil (IMEA, 2019a), indicating two distinct logistic directions. This increase in production and competition in global markets has caught the attention of the academic community, addressing different questions and knowledge gaps in their research, such as production costs, transport costs, logistics constraints, competitiveness, and other related issues.

Some studies are regional, and others analyse Brazil or its relations with other nations. This is also true for soybeans, with concentration only in the last decade. However, less research can be found related to the farm to port costs and the optimal choice of transport corridors associated with the different geographic locations within the state of MT.

The regional studies are mostly limited to states or large macro regions. The increase in soybean production and consequent spatial geographic expansion encompassing larger areas, often further from the major logistics infrastructure such as roads, railways, or inland waterways, imply in higher farm to port costs. Therefore, studies related to macro regions in MT that are as large as countries the size of Qatar or Kuwait, are less likely to successfully address the farm to port logistics for stakeholders, such as producers or policymakers, with a more specific approach. MT is not only a large state, but grappling with logistics infrastructure limitations, partially due to its expanding agriculture, but also other aspects, such as no relevant inland waterways, and counting on only 366km of railroads in the southern part of the state (SINFRA, 2024). These factors contribute to making the logistics a challenge to the various stakeholders, and the choice of the ideal solution a relevant factor. Furthermore, the Outlook 2034 report published by IMEA (2024), which is the economic and agricultural body linked to the state of MT, predicts an increase of 24.06% in crop productivity between 2024 and 2034, and of 65.22% in total soybean production, pointing to more logistics challenges in the near future.

While researching, we found none, explicitly identifying the spatial geographic boundaries of the individual micro-regions within MT, determining the optimum choice for the LC transport corridor and the consequent ideal modal choice or combination of the transport modes available for each distinct corridor of soybean exports, motivating this paper. Additionally, it also covers the perspective of the ideal balance between the EDP of northern and southern Brazil to enhance the competitiveness of the exported soybeans of MT: is the current balance ideal, with the best direct

benefits to the producers? How does a potential adjustment of the balance and choice for the LC transport corridor impact the logistics? What are the environmental implications of the choice for the different transport corridors?

We searched the CAPES<sup>1</sup> base for academic production using the keywords "Mato Grosso", "Soybeans", "Transport", and "Cost". The search returned 256 results, of which 75% were from the last decade, which coincides with the period of substantial expansion in the production of soybeans in Brazil's Midwest region and the consequent difficulties in managing to transport the commodity to the EDP (Fliehr, 2013; Ripoll, 2012; Soliani, 2015). 17 of these 256 results are related to the subject of interest and MT, and only three are relevant to this paper (Fliehr; Zimmer; Smith, 2019; Lopes et al., 2017; Melo et al., 2018), but do not address the specific objective. To ensure that the search for academic production was as encompassing as possible and avoid bias, a similar search was conducted on the Google Scholar base, which returned 278 results, many of which were the same. In this second search, only two additional articles with relevance were found (Assis et al., 2018; Lopes et al., 2016). Of the total five relevant articles, only that of Assis, Gonçalves and Silva (2018) covers the LC modal choice but is limited to 7 macro-regions of MT – a state that is larger than France and Germany together (IMEA, 2017), based on the premise that transport costs are homogeneous throughout each macroregion, and suggests further studies in its conclusion. Therefore, to the best of our knowledge, there are no academic papers regarding the specific aim of this paper. A possible explanation of the limited number of results was outlined by Macharis and Bontekoe (2004), who indicated that "the use of OR in intermodal transport research is still limited. The intermodal transport system is more complex to model than the mono-modal one and thus more difficult to research".

### b) Literature Review

The literature review of this paper is detailed in five sections to allow for a better understanding of the terms employed.

#### i. Commodities

A commodity is "a physical asset that has standardized characteristics, widely negotiated in diverse localities, [and] which can be transported and stored for a long period of time" (Pereira, 2009), and can, therefore, be easily substituted by another sourced from a different region or country. In the case of the soybean plant, the commodity is their beans, due to

<sup>1</sup> CAPES is the Brazilian Federal Agency for Support and Assessment of Post-graduate Education, which offers a gateway with over 38 thousand full text journals called CAPES Periódicos at no cost to Brazilian scientists (CAPES, 2016).



their high protein value (Mandarino, 1987), and are usually classified together with maize as grains. In 2016, the global production of soybeans amounted to 133 million tons and was consumed in more than 150 countries (FAO, 2018).

### ii. Production and Exports of the Soybean Complex

The Ministry of Development, Industry and Foreign Trade of Brazil (MDIC), defines the soybean complex as that encompassing soybean grains, meal, and oil. It made public that in 2017, the soybean complex was the single most relevant product or service of the balance of trade, ahead of traditional items such as minerals, automobiles, and aeroplanes, representing US\$ 25.7 billion, or 11.8% of all of Brazil's exports (MDIC, 2018). In a report dedicated to the theme of the Brazilian soybean complex, the United States Department of Agriculture (USDA) recognized that "in 2013, Brazil for the first time surpassed US soybean

exports, becoming the top world soybean exporter" (Salin, 2014). In another report published by the USDA, Lee et al. (2016) states that "the United States and Brazil account for over 80 percent of global soybean exports". Therefore, the export of soybeans is relevant to both the US and especially to Brazil.

Since 2008, China is the largest importer of soybeans, with imports in 2017 totalling 93.5 million tons (FAO, 2018). Of these imports, Brazil was the origin of 45.3 million tons, and the US for 36.8 million tons, and together the two countries accounted for 87.9% of the Chinese imports (Clever, 2018). In its sixth report on the Brazilian 2016/2017 crop, the Brazilian National Supply Company (CONAB)<sup>2</sup> estimated the 2017 exports at 72.97 million tons, representing 70.3% of the 103.78 million ton production (CONAB, 2017a). The Brazilian Midwest has the most significant production, responsible for 41.9% of the exports in 2017 (Table 1).

*Table 1:* Export Estimates for Brazil's Soybean Complex by Region and Exported Production

Region	Soybean Production (thousand tons)	Exports Soybean Complex (thousand tons)	Exports / Production (%)
North	5,380	4,115	76.5
Northeast	9,100	6,762	74.3
Midwest	47,350	30,558	64.5
Southeast	7,400	6,068	82.0
South	34,550	25,471	73.7
Brazil	103,780	72,974	70.5

Source: CONAB, 2017a.

The state of MT was responsible for 28.2% of the soybean complex exports in 2017, making it the biggest exporter in the country (CONAB, 2017a). That is slightly more than the 26.6% that is the combined production of the two most important producers in the US: Illinois (13.8%) and Iowa (12.8%) (USDA, 2018b). Moreover, in these two countries, the largest producing states are also the farthest from the EDP, with an average distance of about 2,000 km. to the EDP (IBGE, 2017; USDA, 2018c).

Both in the US and Brazil, the largest producing region is the Midwest (CNA, 2012; CONAB, 2017a; USDA, 2018b), and China is the leading destination of exported soybeans, having Shanghai as the port of reference (Salin, 2014; USDA, 2018a). Therefore, both the US and Brazil, the main producing regions, require a logistics effort to transport the grains from the farms in the country's interior to China, often involving a complex combination of various factors that influence the grain's competitiveness.

### iii. Transportation Modes

Ballou (1993) defines transportation modes as "the modes of transport" that move people and cargo

and can include intangibles. He listed five basic transportation modes that move most of the cargo: air, rail, road, water, and pipelines. When more than one transportation mode is used to integrate the services, it is defined as multimodal.

Soybeans can be moved from the farms to the EDP using the road, rail, and water transportation modes. However, of these three, road transportation will necessarily have to be used, independently of the other mode options or combinations, to move the grains from the farm to the point where it is loaded onto the preferred mode. The physical structure where the grain is passed from one transportation mode to another is called a terminal or transshipment facility (TF), and typically for grains, transfer the products from the road to rail or to inland water transportation modes.

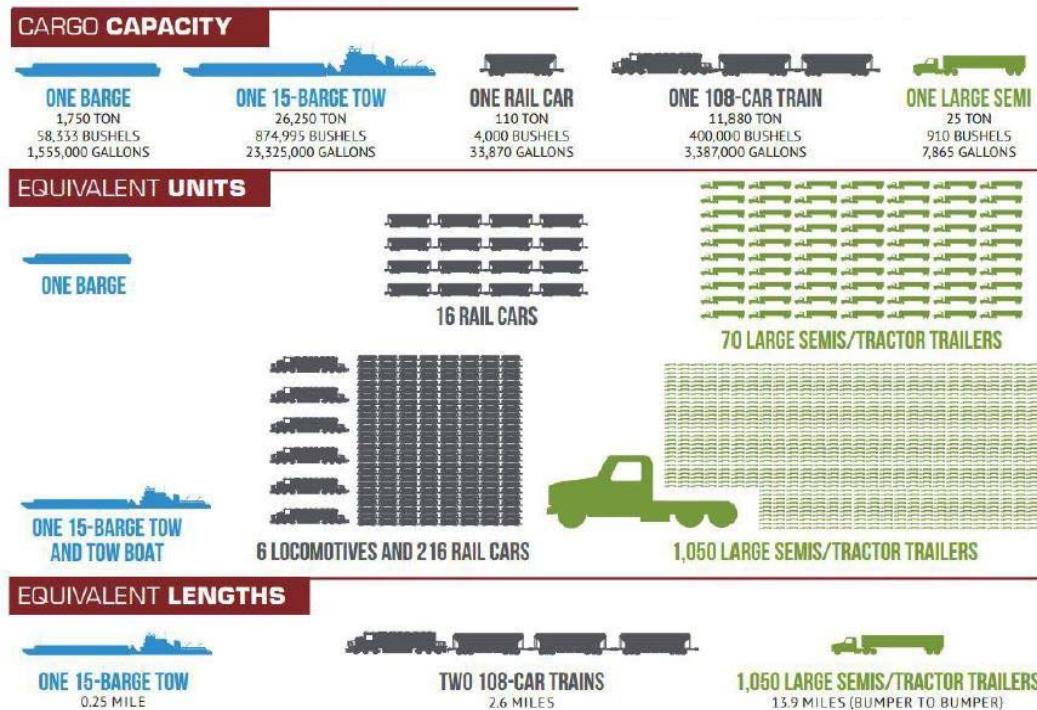
The US soybean exports modal share is quite different from that of Brazil, indicating a clear preference in the US for inland waterways, with 42% of the US exports favouring inland waterways, 29% each using rail

<sup>2</sup> CONAB (Companhia Nacional de Abastecimento) is a public company linked to the Brazilian Ministry of Agriculture (MAPA)

and road in 2016 (USDAAMS, 2017). In the same year in Brazil, road transportation accounts for 52% of the modal share, rail for 38%, and only 10% using inland waterways (CONAB, 2017b; MTPA, 2017).

Inland waterway transportation is the best cost option to transport low-value commodities such as

soybeans due to its capacity to transport large quantities in barge tows (a set of barges and a towboat), as can be noted in Figure 1 below, extracted from a presentation published in 2018 by the Illinois State Freight Advisory Council (ISFAC):



Source: ISFAC, 2018.

*Figure 1:* Comparison of capacities, equivalent units and equivalent lengths of different types of transportation modes used to transport grains from Illinois to EDP in the US Gulf of Mexico

Additionally, the ISFAC presentation not only indicates the cost effectiveness of using barge tows to transport grains on inland waterways compared to rail and road transportation modes in the US, but also highlights various positive environmental factors related to inland waterway transportation using barge tows. The major factor is the carbon footprint, related to the emissions of carbon dioxide (CO<sub>2</sub>) in the atmosphere, which is comparatively 89.9% lower than road and 26.4% lower than rail transportation (ISFAC, 2018). Another study about CO<sub>2</sub> emissions, based on transportation of chemicals in Europe, corroborates the

ISFAC findings, by identifying that short sea bulk transport, which is similar in characteristics to inland waterway transportation, with emissions 74.2% lower than road transport (McKinnon and Piecyk, 2010).

Other important numbers related to comparisons of transport modes and their environmental impacts, are fuel efficiency, spills of hazardous materials, and fatalities. In all three impacts, the use of inland waterway transportation has a favourable impact when compared to the other transport modes typically used for bulk transportation, as can be noted in Table 2 below:

*Table 2:* Comparison of different environmental impacts in major bulk transportation modes

Freight Transportation Mode	Energy efficiency	Hazardous materials spills	Fatality record
	ton-miles travelled per US gallon of fuel	Comparative ratio of fatalities	
Inland Waterway Transportation (barge tows)	647	1	2.12
Rail Transportation	477	22	5.95
Road Transportation	145	79	6.04

Source: ISFAC, 2018.



When referring to ports, it must be considered that there are a variety of port facilities with different characteristics and functions. This paper only focuses on TF, and EDP, both on the Amazon River and along the Brazilian coast.

#### iv. Logistics Costs

There are a variety of services available to transport users based on the five basic transportation modes, which can be used individually or combined. Ballou (1993) explains that among the available alternatives, the taker of transportation services should choose the service or combination of services that offers the optimum balance between costs and service quality, indicating that four criteria are fundamental: costs, delivery times, transit time, and damages or losses of the product being transported.

Due to its attributes as a commodity, when choosing transportation modes, the cost criterion is

**Table 3:** Cost Comparison in US\$ per ton from Different Regions of the US Midwest and the Centre-north of MT to Shanghai, China, in the 4th quarter of 2018

Origin	Country	USA Minneapolis/MN	USA Davenport/IA	USA Fargo/ND	USA Sioux Falls/SD	USA (average)	Brazil northern MT Santos	comparison (%) centre-north MT vs. average USA
<b>Costs (USD/Ton)</b>								
Farm value		<b>312.08</b>	<b>313.55</b>	<b>299.83</b>	<b>294.81</b>	<b>305.07</b>	<b>312.04</b>	<b>2.3%</b>
Truck		12.10	12.10	12.10	12.10	12.10	28.68	137.0%
Barge/Rail		31.66	24,28	56.11	57.10	42.29	48.63	15.0%
<b>Total farm to port transportation costs</b>		<b>43.76</b>	<b>36.38</b>	<b>68.21</b>	<b>69.20</b>	<b>54.39</b>	<b>77.31</b>	<b>42,1%</b>
Maritime transport costs		47.52	47.52	25.97	25.97	36.75	30.00	-18.4%
Total transportation costs		91.28	83.90	94.18	95.17	91.13	107.31	17.8%
<b>Total landed cost in Shanghai,</b>		<b>403.36</b>	<b>397.45</b>	<b>394.01</b>	<b>389.98</b>	<b>396.20</b>	<b>419.36</b>	<b>5.8%</b>
<b>Proportion of Costs (%)</b>								
Farm to port / Total transport costs		47.9%	43.4%	72.4%	72.7%	59.7%	72.0%	
Maritime transport costs / Total transport costs		11.8%	12.0%	6.6%	6.7%	9.3%	7.2%	
Farm to port / Total landed costs		10.8%	9.2%	17.3%	17.7%	13.7%	18.4%	
Farm value / Total landed cost		77.4%	78.9%	76.1%	75.6%	77.0%	74.4%	

Source: USDA, 2019.

Therefore, to be competitive, the production costs of soybeans in MT necessarily have to be lower for the total landed cost in Shanghai to be able to compete with the US soybeans. While the average farm to port costs represents 13.7% of the total landed costs of US soybeans in Shanghai, in the case of the Brazilian soybeans from MT, it is 18.4%.

#### v. Transport Corridors

MT's most significant soybean production is in the macro-region of the Medium-North (IMEA, 2017), which was responsible for 35% of the production in 2017, and Sorriso the most prominent single municipality producing 2.16 million tons of the grain

generally the single most influential factor for soybeans, based on the main transportation modal choice criteria listed by Ballou (1993), with the lowest cost and theft and damages for the three typical transportation modes for soybeans, despite being the slowest.

Considering that road transport is the most expensive option of the transport mode choices to move soybeans in large quantities, multimodal transportation is possibly the best option to reduce the farm to port costs.

Comparing the US farm to port costs with those of MT, it is noticeable that MT's costs are considerably higher than those of the US Midwest, while the transport costs from the EDP in Brazil and the US to China have lower differences which are not that relevant (Salin, 2019), as can be observed in Table 3.

(IBGE, 2018a). The road distance from Sorriso to the nearest EDP is more than 2,000 km, or about 600 km to the TF of Rondonópolis, in MT, where the soybeans can switch to rail to reach the EDP of Santos. The other ports of the south and southeast of Brazil, collectively known as the "Southern Arc" ports, are more distant. The other export option is using the "Northern Arc" ports, which are EDP along the Amazon River and the coast of Brazil's northeastern region. Besides the river ports of the Amazon River, Itaqui is the only coastal port with relevant soybeans exports in the Northern Arc, which can be reached by road or rail. Most river ports that can handle deep-sea Panamax class ships on the

Amazon require multimodal transport solutions, as they are all reached by inland waterway transport on barges (Rubio and Kirkpatrick, 2017). These exporting river ports are reached using TF at the first navigable points of the Madeira and Tapajós rivers, where the grains change transportation mode from the road to the inland waterways. In the case of Itaqui, the distance from Sorriso is more than 2,300 km, and therefore, the

soybeans are transhipped to the rail after travelling about 1,500 km by road to Palmeirante, with the rest of the distance covered by rail. It is possible to use different routes from MT to reach the EDP, as can be observed on the map below (Figure 2), which indicates the most used transport corridors, responsible for 92.9% of the soybean exports of MT in 2017 (IMEA, 2018b).



Source: IBGE, 2018b; IMEA, 2018b; Lopes et al., 2017; Salin, 2014; USDA, 2018b.

Figure 2: Map of Brazil Indicating the Main Transport Corridors of Soybean Exports from MT to EDP used in 2018

### III. METHODOLOGY

Based on the criteria of basic scientific research designs, this research is a case study, as its focus is related to the study of contemporary phenomena inserted in the context of reality (Easterbrook et al., 2008; Prodanov and Freitas, 2013), and uses an empirical quantitative approach. A large variety of secondary data, reports, and presentations were collected using official sources and government agencies, but also literature, institutional reports, academic articles, and articles in the press regarding logistics, transport costs and agricultural commodities were used in this research. Easterbrook et al. (2008) cite that “A variety of different data sources are typically

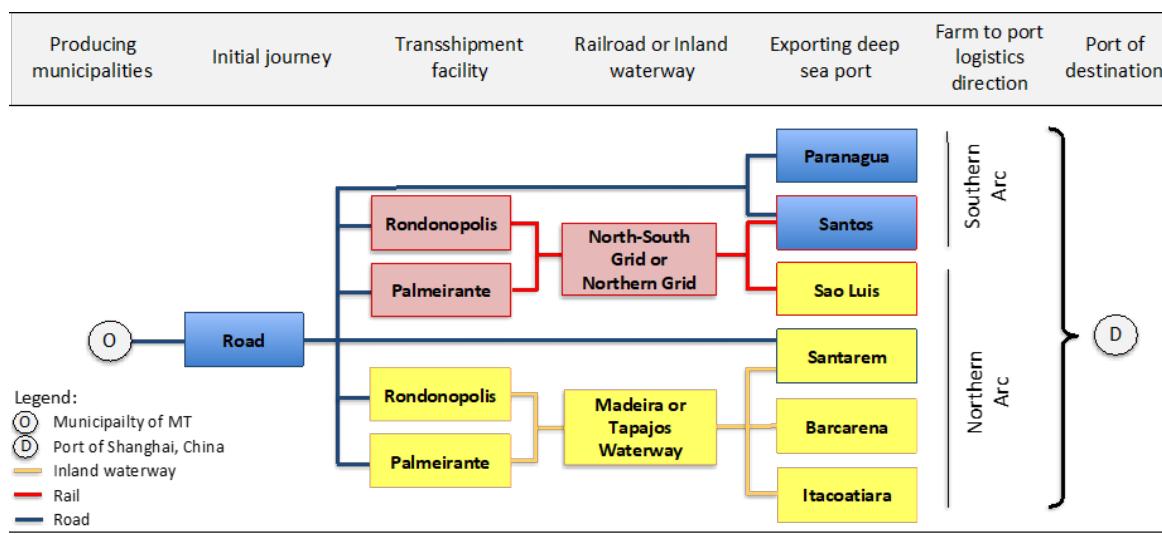
used in case study research”, which is the base of this research to obtain the most data and information available on the specific topics of this paper. The case study approach was also chosen, with the intent of producing results as close to reality as possible, given the availability of the specific secondary data needed.

The Sensitivity Analysis (SA) method was applied to evaluate how the model reacts to changes with its variables, and the focus based specifically on costs. Due to the low product differentiation of soybeans, as they are a commodity, the logistics cost is critical to competitiveness. As the major cost difference between the soybeans exported from MT and its main competitor in the US Midwest is related to farm to port costs, the SA of this research was limited to evaluating

these logistics cost. SA is a valuable methodology for diverse quantitative operations research (Borgonovo and Plischke, 2016). There are various categories of SA and is defined by Ferretti, Saltelli and Tarantola (2016) as "critical to gauge the relevance and plausibility of models". In this paper, we applied the SA method known as one-at-a-time (OAT), which means observing changes to the model, applying one change to a variable and its outcome to the model after the single change, and all other variables are maintained unaltered (Ferretti et al., 2016). After determining the base case with the LC choice, additional SA was performed on the road transport costs, which are the most relevant in the model, to analyse its impact when this specific cost changes. The OAT method has limitations, as it only

manages to identify how one specific variable interacts with the model, being unable to capture more complex interactions between them in a system. However, as the focus of this research was based on the costs of different transport modes, we understand that the limitations do not have a significant impact on the outcome.

As a premise to construct the farm to port transport cost model, the total transport costs from the farm gate in MT to the port of Shanghai, considered the origin (O) and destination (D), respectively, were determined for each of the eight main transport corridors to export soybeans from MT, as shown in Figure 3 below:



Source: Prepared by the authors

*Figure 3: Model of the Main Soybeans Exporting Transport Corridors from MT to Shanghai*

For these routes, the costs of all the different transport modes and that of the TF were added, obtaining the total logistics cost from the origin of each municipality in MT to the final destination port in Shanghai, allowing for a cost comparison for every option and selection of the LC transport corridor. With the definition of these premises, a matrix of the routes from each municipality of MT was elaborated, and the total logistics cost to the destination was calculated, generating a base case scenario with the sum of the total LC transport corridors of each municipality weighted with the proportional production volumes. These values were compared with the reports published by the USDA on the transport costs of soybeans, validating the model.

The transport costs of each transport mode were obtained using reference values of the third quarter of 2018. For values of prior periods, a monetary correction of the Brazilian currency was applied using the currency variation with the USD (Amorim; Lopes, 2017; CONAB, 2019; Dartora, 2015; FreteBras, 2018;

IMEA, 2019b, 2018b; USDA, 2019, 2018a). To eliminate currency variations and permit comparisons with other studies, the model was elaborated in USD.

The individual costs used to model the base case for each of the 50 municipalities and eight transport corridors are: road, rail, inland waterway, TF, exporting port service costs, and the maritime shipping costs, resulting in 400 total landed cost alternatives in USD, per metric ton. After calculating the cost for each of the eight corridors, the LC total transport combination for each municipality in MT to Shanghai was chosen, and the transport mode or combination of transport modes was identified, together with the direction as to whether the preferred option should be the Northern or Southern Arc.

The premises for the model simulating each transport mode available are the following:

a) *Origin*

Of the 141 municipalities of MT, only 119 produced soybeans in 2017, and of these, 50 produced 89.4% of the state's soybeans in that year. Therefore,

this case study was limited to the 50 largest producing municipalities in 2017 (IBGE, 2018a).

#### b) Destination

For this case study's simulations, the port of Shanghai in China was considered the only final destination, as was the case in many other studies, including formal studies of the USDA (Salin, 2014; USDA, 2018a).

**Table 4:** Major Export Corridors from the Top Soybean-Producing Municipalities in MT and their Transport Modes, Transshipment Centres and EDP to Shanghai

#	Origin	Transport mode(s)	Transshipment facilities	Exporting deep sea port	Port of destination	Farm to port logistics direction
1	Top 50 producing municipalities of MT	road/inland waterway	Porto Velho	Itacoatiara	Shanghai, China	Northern Arc
2		road/inland waterway	Miritituba	Santarem		
3		road	-	Santarem		
4		road/inland waterway	Miritituba	Barcarena		
5		road/rail	Palmeirante	Sao Luis		
6		road/rail	Rondonopolis	Santos		
7		road	-	Santos		
8		road	-	Paranagua		

Source: Prepared by the authors

#### d) Road Transport

The transport costs for the road transport mode were obtained using 82 transport values for grains transported from MT to port or TF in October 2018 (CONAB, 2019; FreteBras, 2018; IMEA, 2019b). The secondary data used, was based on real freight costs charged by transporting companies and individuals, specifically related to bulk grain transport, to ensure a reliable dataset, and mitigate potential biases to the costs. FreteBras is an online marketplace where prices are published for individual transport demands, and CONAB and IMEA are institutes that are linked to agricultural research and statistics funded by the public sector. All three sources provide reliable data regarding transport costs. A more abundant, but also more generic dataset of freight values would have included other types of cargo, such as general cargo, cement, and bulk liquids, which have different freight values and logistic requirements, and would therefore risk alterations to the transport costs. By limiting the data to consider only bulk grain transport value, we were mitigating potential alterations to the transport costs. Furthermore, the time span necessarily needs to be limited, not to be influenced by external factors like changes in fuel prices, or changes to transport availability caused by seasonal impacts, such as the start of a different crop competing for transport availability.

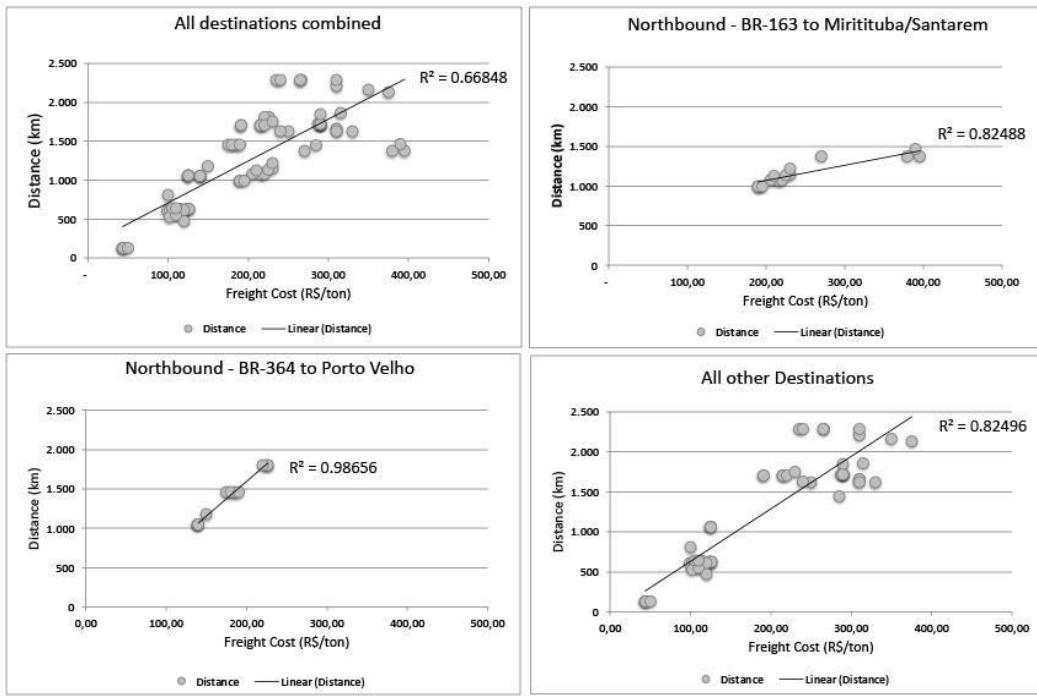
Linear regression was applied to validate the data quality, comparing the distance travelled with the freight rates, obtaining a total  $R^2$  value of 0.6685, which prompted further analysis into the road freight values, as their impact on the total domestic freight is by far the

#### c) Export Corridors

The model simulations were limited to the most significant export corridors from MT to the six most-used EDP. Two of these ports can be reached by different transport modes (IMEA, 2018a), resulting in eight different corridors (Table 4). These corridors are grouped into the two specific farm to port logistics directions in Brazil: the Northern and Southern Arcs.

most relevant single cost factor, representing 69.3% of the total farm to port transport costs in the base case.

It should be noted that the road transport costs from MT to the north using the federal highway BR-163 to Miritituba and Santarém was higher than the other road transportation costs relative to the distance travelled. The main reason is attributed to the precarious conditions of the federal highway within the state of Pará at the time, with vast stretches unpaved and muddy in the rainy season (Patroni, 2019), and little prospects of return freight (Souza, 2018). On the other hand, the northbound federal highway BR-364 to Porto Velho has comparatively less cargo transported to the sparsely populated states of Rondônia and Acre, is well paved and has no tolls. The southbound highways are well paved but bear most of the movement of all kinds of products and are all tolled. This provoked the stratification of the road freight values to be analysed in three distinct groups, depending on the route: northbound to Porto Velho, northbound to Miritituba and Santarém, and all other destinations. After evaluating the  $R^2$  results of the three distinct linear regressions with better regression prediction fits, they were then used in the model, as can be observed in Figure 4 below.



Source: Prepared by the authors

Figure 4: Linear Regression Applied to Road Freight Costs According to Destination Groups

e) Variables not Simulated

i. Time

This case study did not consider the impact of time on the total logistics as an appropriate variable, as soybeans are a commodity where cost variables are much more relevant in the global competition scenario (Pereira, 2009).

ii. TF Facility Costs and Service Costs between Different Transport Modes from Farm to Port and at the EDP

The TF costs are not significant compared to the total transport costs and were therefore all considered the same, based on research published by Amorim and Lopes (2017).

Considering that the maritime transport costs from the various Brazilian EDP to Shanghai are relatively similar to that of the US ports (Table 3), variations in the marine transport costs were not simulated in the model. Applying the same concept, variations in the TF costs were also not applied to the model, as they do not bear relevance to the total transport costs.

It is also important to note, that the TF of the transport corridors studied, are all private sector facilities, and do not publish their service charges. Most are factored in the costs of a larger logistics solution, such as the TF where grains are transferred from road to rail, where the actual TF cost is included in the total rail costs, and therefore difficult to obtain.

iii. Capacity Constraints

For this study, capacity constraints were not considered, as the objective is to model a base case

determining the optimum choice available to each producer. This resulted in the identification of the most competitive export transport corridor from each municipality in MT.

iv. Environmental Factors

For this study, environmental factors were not directly considered, though the comparative differences of the environmental impacts of the different transport modes was discussed.

Brazil is a member of the Conference of Parties (COP) meetings, coordinated by the United Nations Framework Convention on Climate Change (UNFCCC), which aims to stabilize greenhouse gas concentrations in the atmosphere, and limit global average temperature rise this century to 1.5 degrees Celsius above preindustrial levels. One of the major factors that impact the greenhouse gas concentrations, are CO<sub>2</sub> emissions (UNFCCC, 2024). At the COP26 conference held in Glasgow, Scotland, Brazil pledged to reduce the CO<sub>2</sub> emissions by 50% until 2030 (BRASIL, 2022), an later, in the 78th United Nations General Assembly held in September 2023, increased the pledge from 50% to 53% (Agência Gov, 2023). The direct impact on transport directives, are targeted at the diesel oil (fossil fuel) composition used by road transportation. After a brief period of trials between 2005 and 2007, where 2% of non-fossil fuel was added to the fossil fuel, the mixture became mandatory in January 2008. In March 2021, the mixture was increased to 13%, and the percentage adjusted various times that year until finalizing at 10% in November. Then it was adjusted to

12% in April 2023, and to 14% in March 2024 and is expected to reach 15% in 2025. The mixture is aimed at reducing CO<sub>2</sub> emissions, and has been adjusted gradually to allow industry and users to adjust (ANP, 2024).

However, the impact of adding non-fossil fuel to diesel oil, called biodiesel in Brazil, is not as positive as changing transport modes. A 50% biodiesel mixture, consisting of 50% non-fossil fuel and 50% diesel oil, would only mitigate about 4% of the emissions, and 100% non-fossil biodiesel would effectively only mitigate 8.71% of the emissions (Bartholomeu, Daniela Bacchi; Péra, Thiago Guilherme; Caixeta-Filho, 2015).

The addition of non-fossil fuel to diesel oil, has also generated controversy in the transport sector. There are claims that, adding a greater percentage of non-fossil fuel to the diesel oil, demands new engine technology and also reduces the engine efficiency, as pointed out by a study of the University of Brasilia, which states that there is a double cost impact, as the newer engine technology is costlier, and the lower efficiency will demand more fuel consumption (Feltrin, 2023). This is also corroborated by declarations made by the Brazilian National Confederation of Transport (CNT), who state that the addition of non-fossil fuels will increase the cost of the biodiesel, which in turn will increase freight costs. The CNT also note that increasing the percentage of non-fossil fuel will not help the environment, due to the lower engine efficiency (Canal Rural, 2023). It is therefore a controversial topic, and there are not enough studies to indicate the benefits of adding non-fossil fuel to diesel oil, or if there is an ideal mix that obtains the best results.

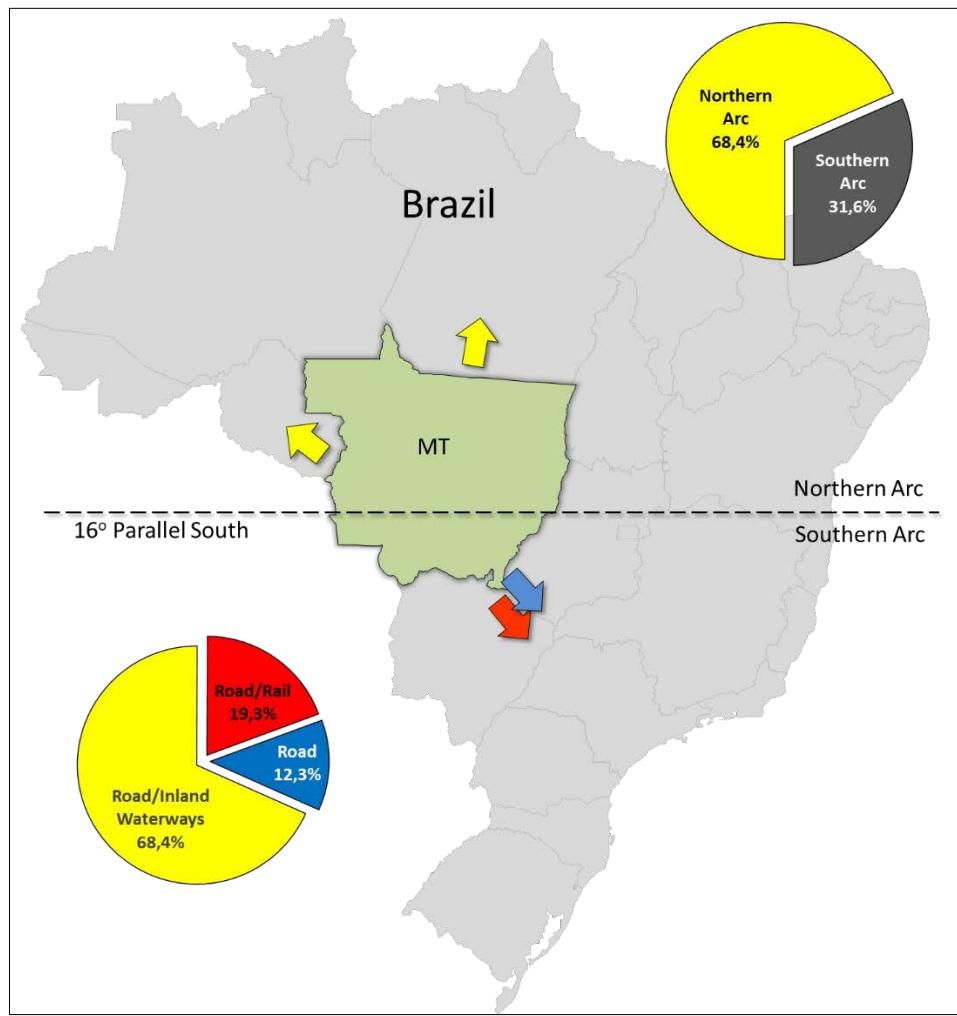
#### IV. RESULTS AND DISCUSSIONS

The results are detailed and subdivided below for a more coherent comprehension of the findings.

##### a) *The LC Option to Export Soybeans*

The base case was modelled simulating 400 possible transport combinations for the 50 municipalities of the research scope. As detailed in Figure 3, there are eight main transport corridors for the farm to port logistics. By considering each possible transport corridor for each of the 50 municipalities, the result was 400 possible combinations, mitigating any bias by excluding unlikely combinations. The result indicated that 68.4% of the production should use the Northern Arc's EDP of Itacoatiara and Santarém on the Amazon River and that this LC transport corridor choice was the optimal choice for 30 of the 50 municipalities of MT modelled. Of the two possible transport options from MT to Santarém, the multimodal transport option using road transport to Miritituba and then switching to inland waterways to the port of Santarem is the LC option, compared to using only the road transport option. The remaining 31.6% of the soybeans destined for exports

had the EDP of Santos, on Brazil's southeastern coast, as the LC port destination in the Southern Arc. Of these 20 municipalities of MT, 13 (61.1%) should use the multimodal transport option of road and rail using the TF to rail at Rondonópolis for the most competitive farm to port transport costs. In contrast, the other 7 (38.9%) should opt solely for road transport. Therefore, only 12.3% of the soybeans exported from the 50 largest producing municipalities of MT should opt exclusively for the road transport mode from farm to port, while the absolute majority, 87.7%, should opt for multimodal transport. Combining road transport with inland waterway transport should be the choice for 68.4% of the volume of exported soybeans, followed by the combination of road with rail transport for the remaining 19.3% of the volumes, represented in Figure 5, which also indicates the optimal balance between the Northern and Southern Arc export corridors. Figure 6 indicates the micro-regions that are encompassed by the balance of the LC transport modes and corridors. Additionally, the names of the individual micro-regions and the respective LC transport mode is detailed in Annex A.



Source: Prepared by the authors

*Figure 5:* Representation of the simulation results of the total logistics costs and the optimal LC choice by Arc and Transport Mode

Not only does the appropriate use of the LC transport corridor directly reduce the farm to port costs for the producer, as it also increases efficiency in balancing a more adequate use of infrastructure. The Southern Arc corridors are burdened by other cargoes, and already at their limits in many cases. Policy makers have been aware of this burden and launched studies to privatize roads and make new public concessions for railroad infrastructure. In aiding competitiveness by stimulating the ideal transport corridors and modes, policymakers can not only reduce the farm to port costs, but also reduce unnecessary use of southbound corridors while at the same time reduce CO<sub>2</sub> emissions resulting from the use of multimodal transport including inland waterways. Projects related to improving road access to the TF in the Northern Arc, and addressing restrictions on the inland waterways, also help making the Northern Arc a more competitive and reliable logistics option. Currently, the federal government is invested in launching the first public concession of an

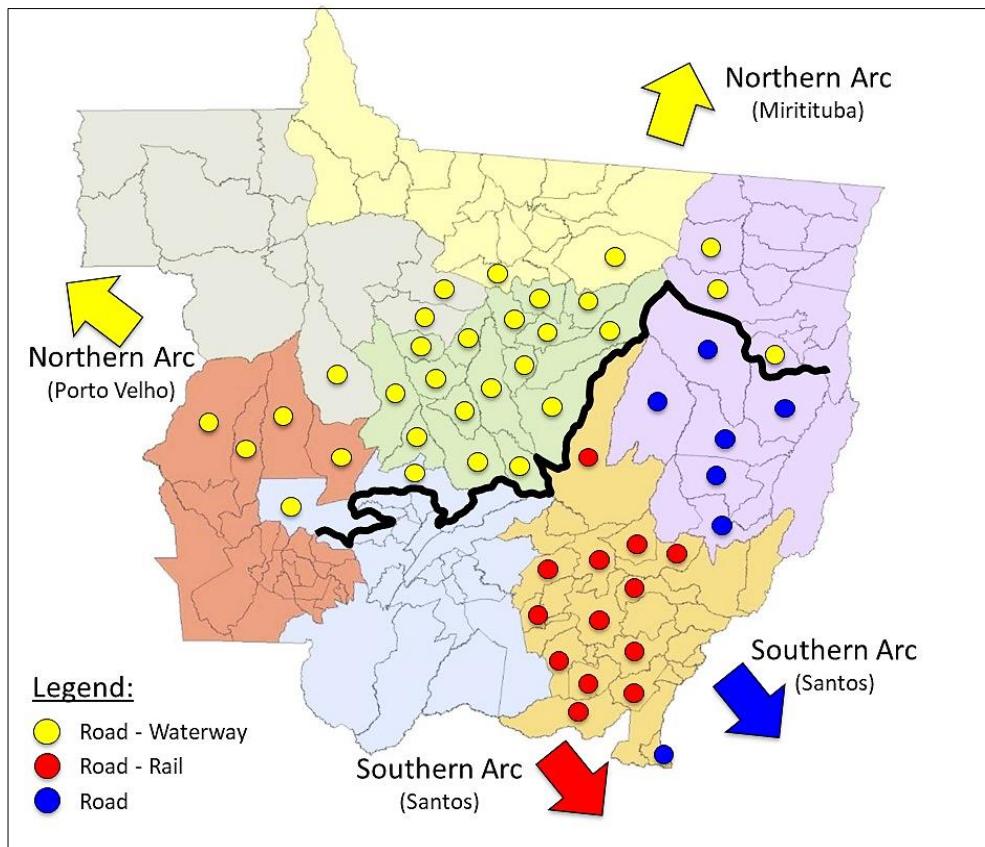
inland waterway, notably the Madeira River, which would directly impact some of the issues related to barge tows during the low water season. Currently, none of the Amazon Basin's rivers are managed by public authorities to prevent limitations during the dry season, when the water levels naturally drop by as much as 17 metres from the high-water levels, reducing the size of barge tows and the volumes normally transported, and even interrupting the transportation for weeks in years of severe drought, as in 2023 and 2024. If successful, the public concession model could be expanded to other inland waterways and enhance competitiveness by guaranteeing a minimum draught and size of barge tows throughout the year (INFRA, 2024).

#### b) Border Definition of the LC Transport Mode Choices

Plotting the LC transport options of the base case from the 50 largest producing municipalities of MT to the EDP on the political map with the individual municipalities (IMEA, 2019c), identified the boundary between the Northern and Southern Arc, clearly

indicating the optimal transport direction (Figure 6), as well as the transport mode or combination of modes

that each municipalities' producer should favour to obtain the LC farm to port transport costs.



Source: Prepared by the authors, adapted from IMEA, 2019c.

*Figure 6: Illustrative Map Indicating the LC Choice Transport Direction and Optimal Modal Choice of the 50 Largest Soybean Producing Municipalities in the Macro Regions of MT*

#### c) Road Transport Costs SA

After simulating the base case, a SA with the road transport costs was applied, as this specific transport mode's costs represent 69.3% of the total farm to port transport costs, making it the single most relevant cost factor. The results shown in Table 5 indicate that the total costs vary relatively little, with a 20% cost reduction, increasing the share from 69.3% to 71.0% of the total farm to port transport costs, and increasing transport costs by 20% impacts the model, reducing the share to 61.8%, indicating a certain resiliency. Comparing the same SA exclusively for the Northern Arc, a reduction in road transport costs of 20% only increases its share from 77.0% in the base case to 78.3%. An increase in costs by 20% reduces the share to 73.7%, again implying a relative resilience to the border between the Northern and Southern Arc's influence regions. However, analysing the SA of the Southern Arc transport costs, road transport cost variations have a more pronounced impact, ranging from 53.6% in the base case to 65.5% with a 20% road transport cost reduction, increasing the share, and suffering a more accentuated reduction in share to 32.1% when the road transport costs increase by 20%.

The analysis indicates that a change in road transport costs will not impact the Northern Arc bound soybeans using inland waterways to reach the EDP as much, increasing the volume of soybeans by a mere 1.2% compared to the base case with a 20% road transport cost reduction, or a shift from 30 municipalities to 31 that should opt for the Northern Arc as their LC export choice. On the other hand, an increase in 20% of the road transport costs will cause a reduction of 5.7% in the volume that should prefer the Northern Arc, and the total amount of municipalities to reduce from 30 to 29. Hence, even relatively large fluctuations in road transport costs, which are the most relevant cost factors in the LC transport choices available, do not cause significant changes in the boundary between the Northern Arc and Southern Arc. The competitiveness of the inland waterway transport costs compared to the road transport costs, which are 67.7% lower than the southbound road transport costs, maintain the border between the Northern and Southern Arc relatively unchanged.

The more significant variation in this SA on the Southern Arc is due to direct competition between road and rail to the southbound EDP. In the base case, 7 of

the 20 municipalities should prefer road and 13 rail as the LC transport. When the road transport costs increase by 20%, only one of the 21 municipalities remains competitive by road, that should opt for the

Southern Arc, and with a decrease of 20% in the road transport costs, 11 of the 19 municipalities should opt for the road as the LC transport choice.

**Table 5:** SA of the proportion of total road transport costs compared to the total farm to port transport costs of the model for the 2017 production of soybeans of the top 50 municipalities in MT

Farm to Port logistics direction	-20%	Base Case	20%
Northern Arc	78,3%	77,0%	73,7%
Southern Arc	65,5%	53,6%	32,1%
Total	71,0%	69,3%	61,8%

Source: Prepared by the authors

The outcome indicates that changes to the road transportation costs, such as an increase in fuel prices or tolls, will not materially impact the Northern Arc bound soybeans as much as the Southern Arc destinations. For stakeholders, the information obtained points at the need to be vigilant – if the road transportation costs are impacted by increases, the southbound soybeans will require studies to compare the farm to port costs with northbound costs and evaluate if the option that once seemed viable remains competitive. Policymakers should also be aware of the sensibility of the southbound soybeans related to road transportation costs and the competitiveness of Brazil's number one export product. Changes to toll strategies on roads or fuel price policies can have an impact on competitiveness, or if the increases favour a shift from southbound to northbound farm to port logistics, could pose new challenges to the infrastructure to handle larger volumes.

Public and private sector stakeholders can also evaluate, if a shift from the Southern Arc to the Northern Arc EDP and hence favouring the use of inland waterways, has a trade-off that is not directly attributed to the farm to port costs, but has the benefit of a relevant environmental factor with reductions in CO<sub>2</sub> emissions. Depending on the final customer of the exported produce, of company policies of the private sector stakeholders, or public policies, stimulating the shift from southbound to northbound farm to port logistics may be in the interest of the parties involved.

Multimodal transportation not only reduces CO<sub>2</sub> emissions, even though less when combining road with railroad transportation as opposed to road with inland waterway transportation, with rail transportation emitting 86.3% less CO<sub>2</sub> than road transportation, and inland waterways 89.9% less, but also reduces the necessity of more roadworks and urban mobility issues along the highways and in the port cities of the EDP. The ports of the Southern Arc are mostly ports that have developed in urban areas, which have grown as much or more than the ports, unlike the ports of the Northern Arc, mostly

served by inland waterways to export soybeans. The multimodal choice reduces the necessity of road transportation within the urban centres, as both railways, or barge tows, have routes that do not impact the urban mobility of the cities and transport the cargo directly to the EDP. By stimulating the use of multimodal transportation, urban mobility issues of port cities are mostly bypassed, and the need of expensive infrastructure solutions avoided.

The increase of using multimodal transportation is also in line with the US, that has a share of 71% using inland waterways and rail transportation (USDA-AMS, 2017), and an important factor of its farm to port competitiveness.

## V. CONCLUSION, LIMITATIONS, AND FUTURE RESEARCH DIRECTIONS

The results of this paper confirmed that using inland waterways to transport commodities such as soybeans is the LC transport option from farm to port. At current transport costs, the inland waterway transport costs in USD per kilometre per ton (USD/km/ton) is a significant 55.6% lower than rail, and 67.7% lower than road transportation, leaving no doubt as to its importance in reducing the total transport costs and improving the competitiveness of the exported grains, similar to observations of other articles.

With present transport costs to export soybeans produced in MT, the largest soybean producing state in Brazil and responsible for 28.2% of the country's exports, the LC scenario of the base case should export 68.4% of the soybeans through the Northern Arc, favouring the north-bound road network from the producing municipalities to the TF in Porto Velho or Miritituba, where the grain is transferred to barges that carry the journey onward on the inland waterways to the EDP of the Northern Arc. The remaining 31.6% should head to the Southern Arc EDP, with 61.1% using the multimodal combination of road and rail, and the remaining 38.9% relying solely on road transportation. Therefore, the optimal balance of EDP between the

Northern Arc and the Southern Arc would be a shift from the current 45.2% of MT's soybeans using the Northern Arc to 68.4%.

30 of the 50 top soybean-producing municipalities located in the central and northern region of MT should export using the Northern Arc multimodal transport corridors, determining a clear and resilient border with the remaining 20 municipalities opting for the transport corridors of the Southern Arc to export the commodity, as depicted in Figure 6. We Applied a SA altering the road transport costs, which confirmed the resiliency of the border, as it did not significantly alter the base case simulation of the model: a 20% reduction in road transport costs only increased the volumes of soybeans exported using the Northern Arc by 0.8% of the total produced by the top 50 municipalities, whereas an increase of 20% in the road transport costs reduced the total volume of the Northern Arc by 3.9%.

The deterministic simulation of the model clearly indicates the importance of using inland waterways in the intermodal transport combination and the direct impact of the transport costs from farm to port in determining the LC transport option. It also points out the optimal exporting logistics direction and preferred exporting transport corridor to maximize the competitiveness of the exported grain, with evident benefits to the producers – especially those located in the area of influence of the Northern Arc.

The findings, which point at a shift from the current 45.2% to 68.4% of soybeans using the Northern Arc are not only detrimental to reducing farm to port costs. The increase of approximately 7 million tons based on the data of 2017, requires the infrastructure to support the increase. Policymakers and logistics providers have been aware of the potential. In 2023, a new player to the traditional sector started operating from a new EDP in Itacoatiara, on the Amazon River. The EDP called Terminal Portuário Novo Remanso is strategically located close to the mouth of the Madeira River and handled 1 million tons in its first year of operations, due to increased production and shift of soybeans exported using the Northern Arc. The project will initially handle 2.7 million tons (TPNR, 2015), but has a potential of handling over 5 million tons after expansions. Other private sector investments include new TF in Porto Velho that will initially handle 4 million tons, being developed by the international Trading company Cargill, and is expected to initiate operations in 2025 (Cargill, 2018). Policymakers are also preparing a concession of the inland waterway of the Madeira River, setting their sights on enabling the inland waterway to transport barge tows all year round, with permanent dredging included in the concession package. This research highlights the necessity for these actions to enable the potential of the Northern Arc's expansion.

Our findings noted that the absence of public subsidies and stimulus programmes related to enhancing competitiveness in the export supply chain actually increases competition between logistics providers, with expansions of existing transport assets and infrastructure facilities in the past decade, such as rail, road, inland waterway providers, TF and EDP alike, enabling the producers to opt for different transport corridors. However, it also stimulated a large concentration of relatively few companies – most global Trading companies – as infrastructure and logistics are capital intensive and usually require investors to endure a number of years before the business starts returning yields. These in turn, are opting not to add value to the commodity within Brazil, exporting low value-added commodities, often to their own facilities abroad. Despite of this, it is notable that even though the transport infrastructure could be better with greater public investment, it is sufficiently competitive to allow producers of MT to compete with major producers like those in the US Midwest, with the adequate choice of the LC transport corridors, and without depending on subsidies or large public infrastructure investments.

Another important aspect related to the results of this study, which indicate cost benefits in increasing the use of multimodal transport corridors that use inland waterways transportation, is the environmental impact. By favouring inland waterways transportation over rail or road transportation, the carbon footprint of the farm to port logistics is drastically reduced, as are other factors, such as hazardous materials spills and accidents with fatalities. Therefore, the benefits are not only cost related, but also environmental. This is a positive action that can favour stakeholders yearning to reduce their carbon emissions and could even entail choosing a transport corridor over another, despite not necessarily being the most cost effective, but providing the opportunity to reduce CO<sub>2</sub> emissions as a conscious choice. Policymakers can also potentialize the environmental benefits by stimulating advancements in public policy that further promote the use of multimodal transport corridors which incorporate inland waterways transportation in the farm to port logistics.

As the case study relied on publicly available secondary data, not all data was readily available, though we do not believe that there was a relevant impact. This included data for TF, both rail and inland waterways, as they are all private sector logistics providers that do not disclose the values publicly. However, other studies indicated that these costs do not vary considerably, and are usually similar, not altering the results of the study. To mitigate potential distortions of transport costs, data was obtained using reference values of the third quarter of 2018, and for prior periods, a monetary correction of the Brazilian currency was applied.

The difficulties in obtaining primary data for freight costs from different microregions to the various destinations of the model, would have made a reliable data collection much more complex, unless a large amount of resources were allocated to sourcing primary data in a short timeframe, which was not a consideration for the study. We understand that the freight costs sourced from secondary data related to the productive sectors were a reliable source of data to model the LC transport corridors.

The study was also limited to the top 50 municipalities of MT, possibly excluding smaller producers from the study. However, of the 141 municipalities of MT, 22 did not produce any soybeans in 2017, and the remaining 69 combined only produced 10.6% of the state production in 2017. As the study produced a map indicating all 141 micro-regions of MT, we understand that even the producers in municipalities not encompassed by the study will be able to identify the ideal LC transport corridor for their production.

This case study did not take system restrictions into account, and we recommend further studies concerning capacity constraints to identify potential opportunities that should strengthen the framework of investment decisions of the public and private sectors to achieve the optimal LC transport costs of the soybeans exported from MT to Shanghai or other destinations. Furthermore, with ongoing government investment plans directed at improving precarious or unpaved roads and public concessions of some highways and the inland waterway of the Madeira River, which will be improved as a result, but result in tolls along the way, the costs of road and inland waterway transportation are dynamic over time. Fuel prices, which impact all transport modes, labour costs, and infrastructure changes all affect the current farm to port costs. Other changes, despite increasing costs, could be beneficial, as proposed by the concession of the inland waterway of the Madeira River, which would ensure barge tows of a minimum size throughout the year, even during the seasonal low waters, maximizing assets related to inland waterway transportation. They should be revisited, despite the model indicating a certain resilience regarding road transport cost variations. New TF and EDP being planned are also a relevant factor to consider. These further studies will certainly contribute by identifying if the current infrastructure of available transport fleet of the road, rail and inland waterways modes are sufficient, and if not, where additional availability is necessary. These studies should also encompass the handling capacities of the different TF, as the available fleet capacity alone will not necessarily be the only restriction to the system. Eliminating all constraints of the entire system will enable the exporters of MT, the country's largest producing state, to further improve their competitiveness in international markets, and especially China, which is the largest importer of the commodity.

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The authors reported that there is no funding associated with the work featured in this article.

#### Author Contribution

All authors approved the submitted manuscript and contributed actively to the study.

#### Data Availability Statement

All the data used in this research was public and found on the internet at the time of research.

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*Annex A:* Table of Micro-regions of MT and optimal choice of Transport Mode

LC Transport mode for top 50 producing Micro-regions of MT		
Road/Inland Waterway	Road/Rail	Road
Sorriso	Primavera do Leste	Querencia
Nova Mutum	Campo Verde	Canarana
Nova Ubiratã	Paranatinga	Aqua Boa
Campo Novo do Parecis	Gaúcha do Norte	Ribeirão Cascalheira
Sapezal	Itiquira	General Carneiro
Diamantino	Santo Antônio do Leste	Nova Xavantina
Lucas do Rio Verde	Alto Garças	Alto Taquari
São Félix do Araguaia	Rondonópolis	
Ipiranga do Norte	Novo São Joaquim	
Brasnorte	Pedra Preta	
Campos de Júlio	Guiratinga	
Tapurah	Poxoréu	
Porto dos Gaúchos	Jaciara	
Nova Maringá		
Tabaporã		
Sinop		
Santa Rita de Trivelato		
Vera		
Feliz Natal		
Bom Jesus do Araguaia		
São José do Rio Claro		
Cláudia		
Tangará da Serra		
Santa Carmem		
Itanhangá		
São José do Xingu		
Comodoro		
Marcelândia		
União do Sul		
Itaúba		





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# Systemic Theory of Sustainable Regional Development as a Key Tool for Solving the Problem of Regional Asymmetry

By Vladimir Podgorny

**Аннотация-** Статья посвящена обоснованию методологического подхода к решению проблемы региональной асимметрии в контексте теории устойчивого регионального развития. Объектом исследования является процесс региональной асимметрии. Предмет исследования – взаимодействие и взаимосвязи взаимозаинтересованных отношений между научным сообществом и практикующими специалистами по поводу решения проблемы региональной асимметрии и их отображение в технологии устойчивого регионального развития как производной соответствующей теории. Гипотеза исследования заключается в предположении о том, что критические различия в значениях экономических и социальных показателей деятельности регионов могут быть устранены посредством объединения усилий теоретиков и практиков в рамках совместной работы над совершенствованием и внедрением технологии устойчивого регионального развития, формирование которой является заключительным этапом разработки и положений теории устойчивого регионального развития.

**Ключевые слова:** устойчивое региональное развитие, официальная идеология страны, государственное региональное управление, государственное управление развитием, государственное управление функционированием, государственное управление изменениями, потенциал регионов, прогресс регионов.

**GJHSS-E Classification:** JEL: R11, R58, Q01



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# Systemic Theory of Sustainable Regional Development as a Key Tool for Solving the Problem of Regional Asymmetry

СИСТЕМНАЯ ТЕОРИЯ УСТОЙЧИВОГО РЕГИОНАЛЬНОГО РАЗВИТИЯ – КЛЮЧЕВОЙ ИНСТРУМЕНТ РЕШЕНИЯ ПРОБЛЕМЫ РЕГИОНАЛЬНОЙ АСИММЕТРИИ

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**Аннотация-** Статья посвящена обоснованию методологического подхода к решению проблемы региональной асимметрии в контексте теории устойчивого регионального развития. Объектом исследования является процесс региональной асимметрии. Предмет исследования – взаимодействие и взаимосвязи взаимозависимых отношений между научным сообществом и практикующими специалистами по поводу решения проблемы региональной асимметрии и их отображение в технологии устойчивого регионального развития как производной соответствующей теории. Гипотеза исследования заключается в предположении о том, что критические различия в значениях экономических и социальных показателей деятельности регионов могут быть устранены посредством объединения усилий теоретиков и практиков в рамках совместной работы над совершенствованием и внедрением технологии устойчивого регионального развития, формирование которой является заключительным этапом разработки и положений теории устойчивого регионального развития. Главная идея исследования состоит в обосновании такой системной технологии устойчивого регионального развития, результаты применения которой способствуют увеличению потенциала регионов и их прогрессу. Цель исследования – формирование технологии устойчивого регионального развития как составной части соответствующей теории, применение которой способствует созданию необходимых предпосылок для устранения причин региональной асимметрии. В работе на основе применения метода системной идентификации исследуемых объектов обоснована методология формирования структурной организации технологии устойчивого регионального развития, включающая аргументацию её структурных элементов – официальная идеология страны, государственное региональное управление, государственное управление развитием регионов, государственное управление функционированием регионов, государственное управление изменениями в регионах, синергия которых создаёт требуемые условия для увеличения потенциала регионов и их прогресса. Такой подход к устойчивому региональному развитию позволит улучшить уровень координации федерального центра и регионов, расширит их возможности положительно влиять на динамику

развития регионов и будет способствовать выравниванию показателей экономического и социального развития на основе государственного управления развитием регионов, их функционированием и изменениями.

**Ключевые слова:** устойчивое региональное развитие, официальная идеология страны, государственное региональное управление, государственное управление развитием, государственное управление функционированием, государственное управление изменениями, потенциал регионов, прогресс регионов.

## I. Введение

Преодоление последствий деструктивизма, обусловленного региональной асимметрией, во многом зависит от результатов как теоретических изысканий в этом направлении, так и результатов практического применения положений теории устойчивого регионального развития (УРР). Однако существующий разрыв между теорией и практикой регионального развития не способствует решению проблемы регионального неравенства. Отсутствие должного сотрудничества и взаимодействия между учёными и практикующими специалистами обусловлено целым рядом причин. Прежде всего, это различия в целях и приоритетах, доступности научной информации, институциональные ограничения и культурные различия. Решение этих и других проблем в рамках работы по совершенствованию структуры и содержания теории УРР позволит снять преграды и улучшить взаимодействие между учёными и практиками, что, в свою очередь, будет способствовать успешному решению проблемы регионального неравенства в Российской Федерации.

Решение проблемы регионального неравенства сопряжено, прежде всего, с теорией УРР, включающей в себя:

- выдвижение гипотезы УРР;
- формирование методологии УРР;
- изучение законов и закономерностей УРР;
- разработку методики УРР;
- обоснование концепции УРР;
- формирование технологии УРР.

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Вначале формируется теоретический каркас решения проблемы, который проверяется на практике, при необходимости корректируется, и тем самым доводится до уровня требуемых условий. Поэтому минимизация регионального неравенства напрямую связана со структурой и содержанием теории УРР, её результирующим этапом – технологией УРР, так как именно последняя отражает не только взаимосвязь науки и практики, но и принципы, функции и методы, с учётом которых принимаются решения, успешная реализация которых способствует УРР.

Вместе с тем, следует отметить, что современная теория регионального развития не даёт однозначного ответа на вопрос о том, каким образом можно и нужно решать проблему региональной асимметрии. Это обусловлено недостаточной систематизацией структуры и содержания самой теории, отсутствием надёжных и актуальных данных, недостаточным упорядочением и обобщением соответствующих знаний.

Всё это актуализирует необходимость пересмотра положений теории УРР и разработки на этой основе алгоритма решения проблемы региональной асимметрии, встроенного в технологию УРР.

#### a) Постановка проблемы

В настоящий период для Российской Федерации характерным является рост региональной асимметрии по основным экономическим и социальным показателям. За последние годы наметилась устойчивая тенденция роста различий экономического и социального характера между регионами-донорами и регионами-реципиентами. Попытка решения данной проблемы посредством создания Федеральных округов на основе административно-территориального деления Российской Федерации, что по замыслу должно было объединить возможности развития лидирующих и отстающих регионов и тем самым уменьшить плеcho вариаций экономических и социальных показателей, не привела к желаемому результату. Государству не удалось обеспечить желаемый уровень региональной динамики, повысить эффективность региональной политики и степень межрегиональной мобильности, и, как следствие, снизить уровень региональной асимметрии.

Положение осложняется введением внешнеэкономических санкций со стороны США и стран ЕС в отношении российской экономики, что обусловило снижение возможностей регионального развития и усилило тенденцию экономического и социального расслоения в региональной среде. Целесообразным выходом из сложившейся неблагоприятной ситуации представляется

активизация работы по формированию теоретической базы, совершенствованию положений теории регионального развития и выработке на этой основе технологического решения, направленного на преодоление различий в развитии на региональном уровне.

#### b) Актуальность исследуемой проблемы

Решению проблемы асимметрии регионального развития посвящено большое количество научных публикаций, среди которых целесообразно выделить ряд работ: (Валеев, 2023), (Денисенко, 2022), (Афанасьева, 2019), М.А. (Ли, 2023), (Мухаметова, 2023), (Федосеева, 2023), (Юсупова, 2022), (Давыдов, 2022), (Усманов, 2022), (Хубаев, 2022) и др.

Авторы в своих исследованиях подходят к решению данной проблемы с традиционных позиций, а именно:

посредством применения регионального планирования и стратегического подхода; сквозь призму решения проблем, связанных с инвестированием в инфраструктуру регионов; посредством развития предпринимательства; на основе повышения доступности услуг; путём государственного инвестирования и субсидирования и т.д.

Вместе с тем практика показывает, что попытки решения проблемы асимметрии регионального развития посредством реализации мер локального характера не может обеспечить минимизацию регионального неравенства. Здесь целесообразным является комплексный подход, направленный на стимулирование УРР. Смысл такого подхода сводится к смещению акцента в государственном региональном управлении от точечных, разовых мер, обеспечивающих временной и крайне неустойчивое ослабление процессов региональной асимметрии, к мерам, обеспечивающим УРР на основе увеличения и максимально полного использования потенциала регионов для обеспечения их прогресса, что возможно лишь при условии разработки и реализации технологии УРР системного характера.

Такой подход ориентирует регионы жить в соответствии с положением, согласно которому конкурентоспособным и социально благополучным является не тот регион, который располагает большим количеством ресурсов, а тот, который умело распоряжается теми ресурсами, которые имеются в настоящий момент в наличии. А это требует согласованной работы исследователей и практиков по обоснованию и реализации технологии УРР, направленной на увеличения потенциала регионов и их прогресса во всех сферах жизнедеятельности. Это даст возможность активизировать собственный потенциал регионов и

повысить их заинтересованность в собственном развитии, а также обеспечить желаемые изменения в жизни регионального сообщества. Такой подход к решению проблемы асимметрии регионального развития будет способствовать минимизации региональных различий уровня показателей экономического и социального развития территорий.

Всё это обусловило необходимость проведения специального исследования, результаты которого позволяли бы систематизировать положения теории регионального развития, что, в свою очередь, дало возможность на этой основе обосновать особенности формирования технологии УРР, одним из результатов реализации которой является региональное выравнивание на основе увеличения потенциала регионов и их прогресса.

Цель исследования – формирование технологии УРР как составной части соответствующей теории, применение которой способствует увеличению потенциала регионов и их прогрессу для устранения причин региональной асимметрии.

Для достижения поставленной цели были поставлены и решены следующие задачи:

- исследовать состояние региональной асимметрии и выявить основные тенденции развития российских регионов;
- охарактеризовать значение и роль теории УРР в решении проблемы регионального неравенства;
- обосновать алгоритм формирования технологии УРР в рамках соответствующей теории;
- выбрать научный метод, который может быть использован как основной инструмент системного моделирования структурной организации технологии УРР;
- сформировать структурную организацию технологии УРР.

*Состояние региональной асимметрии и основные тенденции развития российских регионов. Рост регионального неравенства – основная проблема развития территории.*

Переход отечественной экономики на рыночные рельсы по-разному сказался на российских регионах. Одни смогли освоиться в новой ситуации и достигли экономического роста, другие оказались в глубоком кризисе и до сих пор не вышли из него. Как следствие, различия экономического и социального характера между регионами за последние десятилетия являются весьма значительными. К примеру, по состоянию на 2022 г. уровень ВРП на душу населения в Ингушетии (159,6 тыс. руб.) в десятки раз ниже, нежели в Ненецком автономном округе (11786,4 тыс. руб.). Лидирующие позиции по этому показателю занимают преимущественно северные,

специализирующиеся на нефтедобыче, регионы (Ямало-Ненецкий автономный округ – 10453,5 тыс. руб., Сахалин – 3303,4 тыс. руб., Магаданская область – 2338,2 тыс. руб., Чукотский автономный округ – 2946,2 тыс. руб., Ханты-Мансийский автономный округ – 4003,5 тыс. руб., Тюменская область – 3637,1 тыс. руб.), а также Москва – 2182,8 тыс. руб., где сконцентрированы штаб-квартиры большинства сырьевых компаний. В числе отстающих находятся преимущественно аграрные регионы юга России – Ингушская (159600 тыс. руб.), Чеченская (206 800 тыс. руб.), Кабардино-Балкарская (286400 руб.), Карачаево-Черкесская Республика (268500 тыс. руб.) и др. В среднем по России этот показатель составляет 960,6 тыс. руб.

Аналогичная картина, отражающая высокий уровень региональной асимметрии, складывается в разрезе вклада регионов в ВВП России. Так, по данным за 2022 г. наибольший вклад в ВВП России вносит Москва (28507,4 тыс. руб. – 20,7%), Московская область (7720,8 тыс. руб. – 5,49%), Санкт-Петербург (11166,4 тыс. руб. – 7,94%) и Ханты-Мансийский автономный округ (6894,3 тыс. руб. – 4,9%). Минимальные показатели зафиксированы по Северной Осетии-Алании (216 тыс. руб. – 0,15%), Ингушетии (82,2 тыс. руб. – 0,06%), Карачаево-Черкессии (125,9 тыс. руб. – 0,09%), Адыгее (197,1 тыс. руб. – 0,14%), Кабардино-Балкарии (258,9 тыс. руб. – 0,18%), Республике Алтай (91,6 тыс. руб. – 0,07%). Данный показатель в большинстве регионов Российской Федерации значительно ниже среднего по России. Для отстающих регионов характерным является низкий уровень экономической активности и реальных доходов населения, что является основной причиной перетока населения (особенно из сельской местности) в индустриально развитые регионы. Наличие данной тенденции снижает и без того низкий уровень потенциала развития депрессивных территорий.

Отсутствие в отстающих регионах перспективы трудаустройства по специальности после окончания вуза с достойным уровнем заработной платы способствует выезду, как молодых специалистов, так и абитуриентов в столицу для поиска желаемого места работы и вуза. Это одна из основных причин сжатия и неравномерного расселения на всей территории Российской Федерации и, как следствие, чрезмерной концентрации финансовых ресурсов и инноваций в Москве и столичном регионе (Нефёдова, 2022). И данная тенденция с течением времени только набирает обороты.

Экономические проблемы развития регионов обуславливают наличие социальных проблем, связанных с доходами и занятостью населения, а также жилищные условия, уровень

образования, состояние здоровья людей и др. Несмотря на рост данных проблем, регионы делают ставку не на интенсивных способах решения проблем, основанных на увеличении и эффективном использовании собственного потенциала, а на использовании финансовых возможностей выравнивания бюджетной обеспеченности за счёт средств государственного бюджета в виде дотаций. В результате этого за последние пять лет объём дотаций вырос почти в 1,5 раза, что, впрочем, никак не отразилось на количественном составе регионов-реципиентов. Трансферты растут из года в год, но к желаемым результатам это не приводит (Белобородов, 2020).

На протяжении последних десятилетий наблюдается рост регионального неравенства, который создает ряд проблем для государства: сдерживание экономического развития, необходимость перераспределить часть ресурсов на региональное выравнивание, социальная напряженность, опасность дезинтеграции российской экономики. Преодоление сложившейся тенденции требует, прежде всего, выявления основных проблем, препятствующих УРР.

Изучение специальной литературы по проблемам региональной асимметрии позволило выделить ряд основных проблем, которые являются системными и требуют решения на государственном уровне, среди которых основными являются:

отсутствие системного подхода при решении теоретических и практических задач, направленных на преодоление региональной асимметрии;

разрыв между теорией и практикой регионального развития;

несовершенство применяемых мер и подходов к обеспечению УРР, в основе которых положен принцип перераспределения федеральным центром финансовых ресурсов в направлении от «богатых» регионов к «бедным», что отрицательно сказывается на их состоянии, поскольку такие меры лишают стимулов к саморазвитию как первых, так и вторых.

#### **Теория устойчивого регионального развития как инструмент решения проблемы регионального неравенства**

Решение данных проблем требует комплексного и системного подхода на уровне государства, что обуславливает необходимость теоретического обоснования решений и действий государственных структур по организации УРР. При этом теория УРР имеет особую значимость для соответствующей практики по целому ряду причин.

Во-первых, она представляет собой информационную основу для анализа и понимания

особенностей развития регионов. Теория помогает обеспечить сбор необходимых данных для выдвижения гипотезы УРР, которая необходима для понимания и предварительной оценки развития регионов, поскольку основывается на предположении о том, что определённые факторы и условия, существующие в регионах, могут влиять на его развитие и процессы, происходящие в них.

Во-вторых, теория УРР способствует изучению тех методов, средств и приемов, с помощью которых приобретаются и обосновываются новые знания в области регионального развития, а также изучается структура этих знаний, определяется место и роль в нём различных форм познания, методов анализа и построения различных систем соответствующего научного знания.

В-третьих, теоретическое обоснование УРР позволяет раскрыть содержание его законов и закономерностей, регламентирующих процесс развития и обеспечивающих создание условий для максимальной самореализации региона.

В-четвёртых, теория УРР даёт представление о структурной организации модели УРР, характеризует основные процессы и направления развития.

В-пятых, исследования, проводимые в рамках работы теории УРР, позволяют сформировать руководящие документы, которые регламентируют цели развития и процесс их достижения в виде соответствующего комплексного плана и комплексной программы.

В-шестых, одним из основных результирующих этапов упорядочения структуры и содержания теории УРР является соответствующая концепция, в которой раскрываются особенности управления процессом развития на уровне регионов, даётся характеристика системы управления и организационной структуры.

И, наконец, в седьмых, теория УРР обеспечивает достижение главного результата теоретических изысканий в этом направлении – разработку технологии УРР, применение которой позволяет преобразовывать и качественно улучшать территориальное пространство с опорой на собственные возможности регионов при необходимой поддержке со стороны государства, способствуя тем самым выравниванию показателей экономического и социального развития регионов на долгосрочную перспективу.

В целом, теория УРР формирует научный и теоретический фундамент для практической работы государственных структур по развитию регионов. Она помогает определить проблемы и вызовы, противостоящие региональному развитию, а также выявляет возможности их преодоления,

предлагает соответствующие инструменты и подходы для их решения. Без теории УРР практика в этой области не является обоснованной в достаточной степени, что ставит под сомнение достижение желаемых результатов развития. Кроме того (что имеет особую значимость), в ходе формирования теоретической базы регионального развития совершенствуется, систематизируется сама теория.

#### *Алгоритм формирования технологии устойчивого регионального развития в рамках соответствующей теории*

Для научного объяснения и характеристики комплексного научного подхода к формированию технологии управления ресурсами была использована соответствующая теория (Подгорный, 2022). Эта теория отражает внутренне согласованную систему представлений и раскрывает причинно-следственные связи и взаимосвязи, определяющие особенности структурной организации объекта исследования, на основе которых достигается объяснение его сущности и принципа действия. Содержание теории УРР включает в себя выдвижение гипотезы УРР, обоснование методологии УРР, основного закона УРР, модели УРР, методики УРР, концепции УРР и разработку технологии УРР. Представленная в таком виде теория УРР позволяет сформировать логическую схему поэтапного формирования технологии УРР и содержание этих этапов (таблица 1).

Гипотеза является неопределенным знанием, предположением о структурной организации и свойствах УРР как процесса изменений, который требует доказательств в научном обосновании. Предложенная гипотеза требует научно-теоретического обоснования – методологии, которая является комплексным способом понимания сущности УРР, который находится в постоянном движении процессов различных изменений, происходящих в его пределах.

Методологическими основами научного знания об особенностях структурной организации УРР являются основной закон, модель и методика УРР.

Основной закон УРР заключается в том, что развитие каждого региона, включенного в процессы на межрегиональном, межотраслевом и межмуниципальном уровнях, стремится достичь максимального суммарного потенциала путем внутренних изменений, проходящих через все этапы цикла развития. При этом важно соблюдать основной закон УРР для повышения эффективности использования потенциала регионов и обеспечения их прогресса.

Причинно-следственные связи между процессами и явлениями развития, отраженные в основном законе УРР и характеризующие текущую действительность, находят свое выражение в соответствующей модели. Модель УРР является структурированным описанием комплексного процесса развития (матрицей или шаблоном), представляющим собой совокупность различных процессов развития и их логических связей, определяющих содержание отношений и их соответствие силам развития в регионах.

Реализация модели УРР требует, прежде всего, уточнения целей и определения шагов, необходимых для их достижения. Эти аспекты отражаются в соответствующей методике УРР. Методика включает в себя информацию о данных, связанных с развитием в регионе, анализ соответствующих факторов и критериев, а также цели, задачи и показатели развития. Все эти функции описаны в комплексном государственном плане и комплексной государственной программе, которые регламентируют процесс реализации модели УРР.

Как и любой другой процесс, УРР не является автоматическим процессом, а требует осознанного воздействия со стороны государственных органов. Для обеспечения эффективности государственного управления в каждом регионе и устойчивого развития на долгосрочную перспективу, необходимо разработать концепцию УРР, включающую в себя обоснование инструментов управления и формирование управляемой структуры. Это позволит достичь эффективности и состояния устойчивого равновесия каждого региона.



**Таблица 1:** Логическая схема комплексного подхода к формированию технологий УРР

Содержание этапов формирования технологии УРР							
№ п/п	Составляющие элементы теории УРР	Субъективизация УРР	Выделение движущей силы УРР	Выделение принципиальной основы УРР	Выделение организационно-функциональной основы УРР	Выделение регулятора УРР	Объективация УРР
1	Гипотеза УРР	Исходные данные об УРР	Логическая обработка данных об УРР	Анализ данных	Синтез данных	Систематизация данных	Обобщение опыта УРР
2	Методология УРР	Выделение субъекта УРР	Выделение объекта УРР	Определение предмета отношений ФЦ и регионов	Формулирование цели УРР	Постановка задач УРР	Формированние обратной связи
3	Основной закон УРР	Глобальные процессы	Внутренние изменения на уровне регионов	Увеличение регионального потенциала	Сохранение регионального потенциала	Использование регионального потенциала	Самоорганизация региона
4	Модель УРР	Динамика УРР	Управление динамикой УРР	Модернизация региона	Эволюция региона	Прогресс региона	Система УРР
5	Методика УРР	Информация о региональном развитии	Факторы и резервы регионального развития	Цели регионального развития	Задачи регионального развития	Показатели регионального развития	Комплексный план УРР
6	Концепция УРР	Государственное управление	Управление УРР	Содержательная деятельность государства	Управленческая деятельность государства	Уровни УРР	Система управления УРР
7	Технология УРР	Официальная идеология РФ	Государственное регулятивное управление	Государственное управление государства	Государственное управление функционированием регионов	Государство	Организационная структура УРР
							Прогресс регионов

Концепция УРР – это уникальный подход к обоснованию и разработке инновационных инструментов организации развития регионов, направленных на повышение их конкурентоспособности и установление достойной позиции как внутри России, так и на международной арене.

Разработка модели, методики и концепции УРР позволяет на теоретическом уровне обосновать необходимость и возможность развития территорий в условиях сложившейся политической, экономической и социальной реальности, а также существующих ресурсных ограничений. После научно-теоретического обоснования концептуальный проект УРР переходит на стадию практической реализации, что требует разработки соответствующей технологии. В данном случае под технологией понимается особый порядок процессов, обеспечивающих УРР. Концептуализация, обоснование и формирование структурной организации УРР осуществляются в ходе системного моделирования с использованием метода системной идентификации исследуемых объектов.

*Метод системной идентификации исследуемых объектов – основной инструмент системного моделирования структурной организации технологии устойчивого регионального развития*

Метод системной идентификации объектов позволяет полно отобразить характеристики исследуемых явлений и процессов, обеспечивая успешное исследование. Основанный на закономерности, метод системного моделирования представляет информационный процесс как систему взаимосвязанных элементов, взаимодействующих с окружающей средой с целью получения, обработки, передачи и использования информации для достижения результата. К результатам в данном случае целесообразно отнести:

удовлетворение потребности в том объёме информации, который необходим для управления развитием, функционированием и изменением на уровне регионов;

обеспечение межрегионального, межотраслевого и межмуниципального взаимодействия регионов для их устойчивого, сбалансированного и равномерного развития.

Логика системной идентификации в данном исследовании сводится к декомпозиции структурной организации технологии УРР с последующей её композицией по принципу подобия структурной организации кибернетической системы, способной воспринимать, запоминать и перерабатывать информацию (Подгорный, 2023).

Применение метода системной идентификации исследуемых объектов в качестве

средства распознавания позволяет разработать этапы системного моделирования технологии УРР. Этот подход позволяет точно воссоздать все элементы данной технологии и выявить логику связей между ними. Результатом пошаговой идентификации и установления каналов прямой и обратной связи является создание структурной организации технологии УРР.

*Формирование структурной организации технологии устойчивого регионального развития*

Технология УРР как относительно самостоятельная разновидность технологий территориальной трансформации обеспечивает системную реализацию планомерных изменений социальной, институциональной, финансовой сфер жизнедеятельности, а также сферы общественной безопасности и экономической сферы регионов (рис. 1).

УРР представляет собой процесс целенаправленных изменений, проводимых совместными усилиями федерального центра и регионов для увеличения их потенциалов и достижения на этой основе прогресса – видимых положительных изменений во всех сферах жизнедеятельности регионального сообщества. Последнее характеризуется устойчивым ростом благополучия и благосостояния регионов.

УРР – это, прежде всего, процесс реализации соответствующей общегосударственной идеи, которая должна лежать в основе официальной идеологии РФ – системообразующего элемента технологии УРР. Общегосударственная идея УРР обуславливает наличие в структурной организации официальной идеологии комплекса целей и соответствующих задач, охватывающих все сферы жизнедеятельности регионов.

Реализация задач УРР и достижение желаемых результатов невозможно без следования идеалам, нормам и ценностям, выступающих в качестве ключевых элементов механизма официальной идеологии, действие которого направлено на формирование убеждений людей в необходимости реализации выбранного курса развития регионов и формирования соответствующего поведения регионального сообщества. Идеологическое воздействие государства на региональное сообщество способствует общественной консолидации, формировании мировоззренческих установок и менталитета, ориентированных на устойчивое развитие. Тем самым обеспечивается формирование благоприятной среды для государственного управления на региональном уровне.

Государственное региональное управление направлено на нейтрализацию дестабилизи-

рующего влияния внешних и внутренних факторов. Под государственным региональным управлением понимается система мер и действий государства на межрегиональном, межотраслевом и межмуниципальном уровнях, реализация которых обеспечивает формирование региональных институтов и региональной политики, направленной на обеспечение УРР, роста качества и уровня жизни населения. При этом в качестве основных инструментов государственного регионального управления используется.



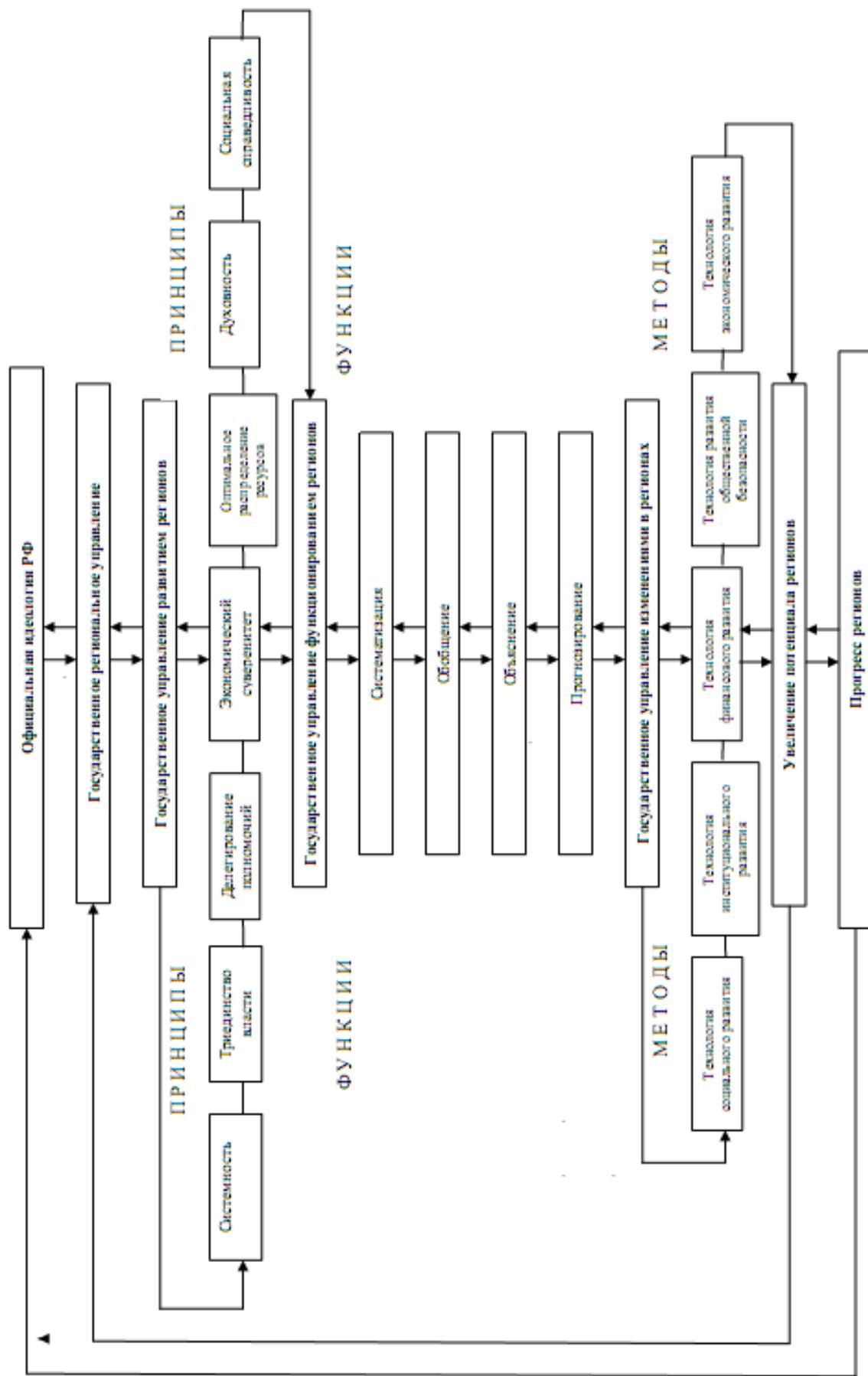


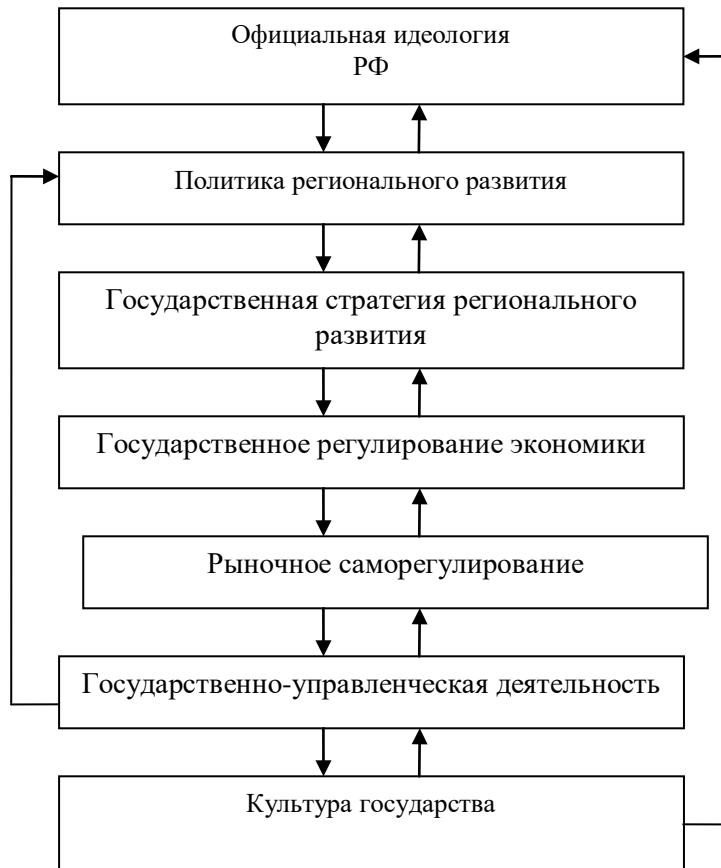
Рис. 1: Логическая схема структурной организации технологии УРР

государственное управление развитием регионов, государственное управление функционированием регионов и государственное управление изменениями в регионах.

#### *Государственное управление развитием регионов как принципиальная основа механизма устойчивого регионального развития*

Государственное управление развитием регионов направлено на разработку стратегических

планов и программ, определение стратегических направлений, реализация которых обеспечит достижение долгосрочных целей в соответствии с взаимосогласованными интересами федерального центра и регионов (рис. 2).



*Рис. 2:* Структурная организация государственного управления развитием регионов

Государственное управление развитием регионов представляет собой программирующий блок в структурной организации технологии УРР, который формирует стратегические установки, правила, определяющие способ совместных действий федерального центра и регионов и служат руководством при принятии решений (Хачев, 2022). Сущность государственного управления развитием регионов раскрывается в совокупности взаимосвязанных принципов:

**Системность:** предполагает подход к УРР как целостному комплексному процессу, который представляет собой совокупность взаимосвязанных и взаимозависимых элементов, функционирование которых подчиняется общим

законам и закономерностям эволюции сложных систем;

**триединство власти:** отражает внутренние отношения и общность трёх равных по своей значимости и взаимосвязанных ветвей власти, находящих своё выражение в согласованном действии всех ветвей власти на региональном уровне;

**делегирование полномочий:** обоснованная и целесообразная передача части функций по организации УРР от федерального центра к регионам;

**экономический суверенитет:** уровень обоснованной и целесообразной автономности воспроизводства регионов, регламентируемый

рамками делегированных из федерального центра полномочий, и определяющий границы свободы принятия управленческих решений и присвоения результатов регионального развития;

**оптимальное распределение ресурсов:** способ планирования регионального развития, предполагающий использование труда, материалов, бюджетных средств с максимально возможной выгодой для региона;

**духовность:** инструмент мобилизации регионов, применение которого способствует активизации их стремления к развитию;

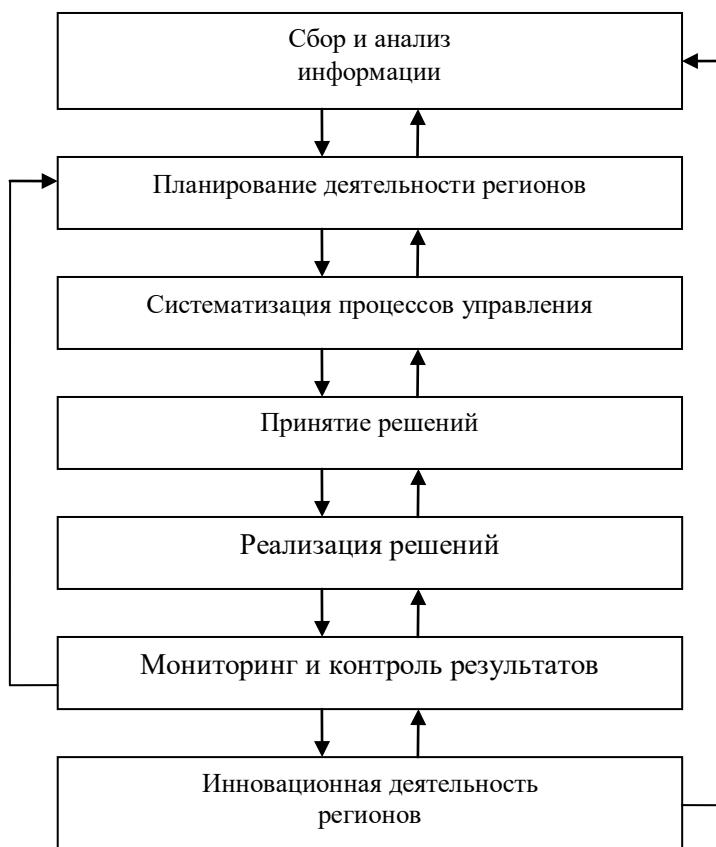
**социальная справедливость:** требование поддержания устойчивого баланса между вкладом регионов в развитие страны и отдачей от федерального центра, измеряемой критериями распределения благосостояния, наличием равных возможностей (прежде всего, финансовых) и социальных привилегий).

Мониторинг и контроль результатов осуществляется в рамках государственно-

управленческой деятельности, которая, в свою очередь, определяет формирование и развитие культуры государства, поскольку выступает в роли регулятора общественных отношений и способствует росту общественного сознания, применению новых знаний и формированию творческого мышления, что является одной из основных характеристик общества созидания.

*Государственное управление функционированием регионов – организационно-функциональная основа механизма устойчивого регионального развития*

Реализация стратегических целей совместной деятельности федерального центра и регионов невозможна без управления текущими процессами – государственного управления функционированием регионов, отражающего тактический аспект государственного регионального управления (рис. 3).



*Рис. 3: Структурная организация государственного управления функционированием регионов*

Государственное управление функционированием регионов направлено на оптимизацию использования ресурсов и достижение тактических целей, что обеспечивается посредством планирования, контроля, мониторинга текущих процессов и принятия оперативных

решений (Мясникова, 2022). Государственное управление функционированием регионов выступает в качестве организационно-функционального центра УРР, выполняющего ряд функций:



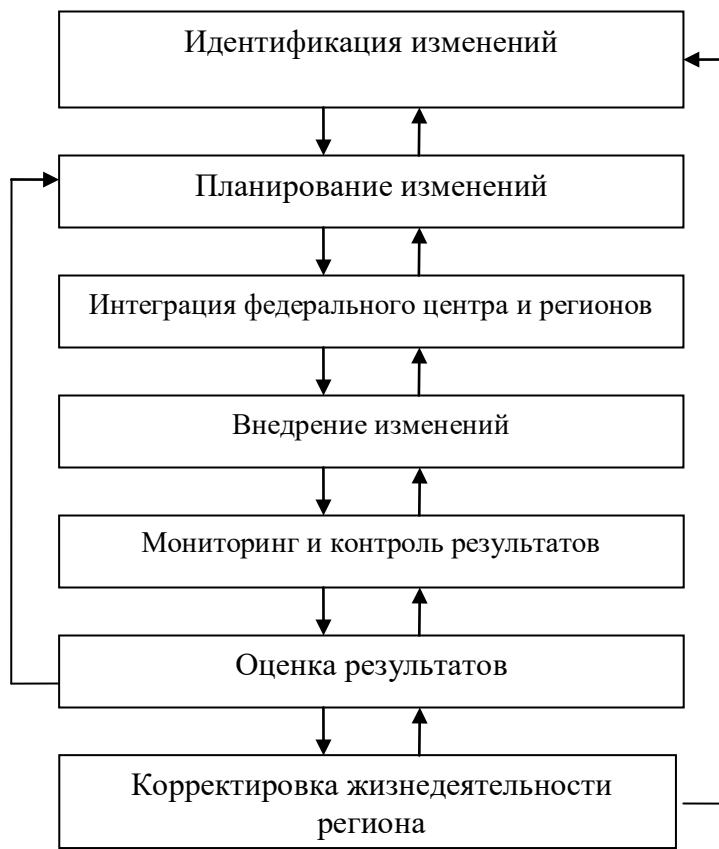
1. Систематизация результатов регионального развития. Представляет собой процесс организации, анализа и классификации данных о развитии регионов.
2. Обобщение результатов регионального развития. Это процесс анализа и суммирования полученной информации о состоянии сфер жизнедеятельности регионов, позволяющий выявлять положительные и отрицательные тенденции развития, сильные и слабые стороны регионов.
3. Объяснение результатов регионального развития. Позволяет выявлять возможные причины, которые способствуют или тормозят развитие регионов для разработки рекомендаций по улучшению ситуации.
4. Прогнозирование результатов регионального развития. Представляет собой процесс оценки и предсказания изменений и тенденций в развитии регионов.

Реализация данных функций обеспечивает создание упорядоченной и структурированной

информационной базы, позволяющей легко отслеживать и изучать прогрессивные изменения и степень достижения целей регионального развития во времени. Это даёт исчерпывающее понимание состояния динамики регионального развития и способствует принятию обоснованных и целесообразных решений для поддержания УРР.

*Государственное управление изменениями в регионах – методическая основа механизма устойчивого регионального развития*

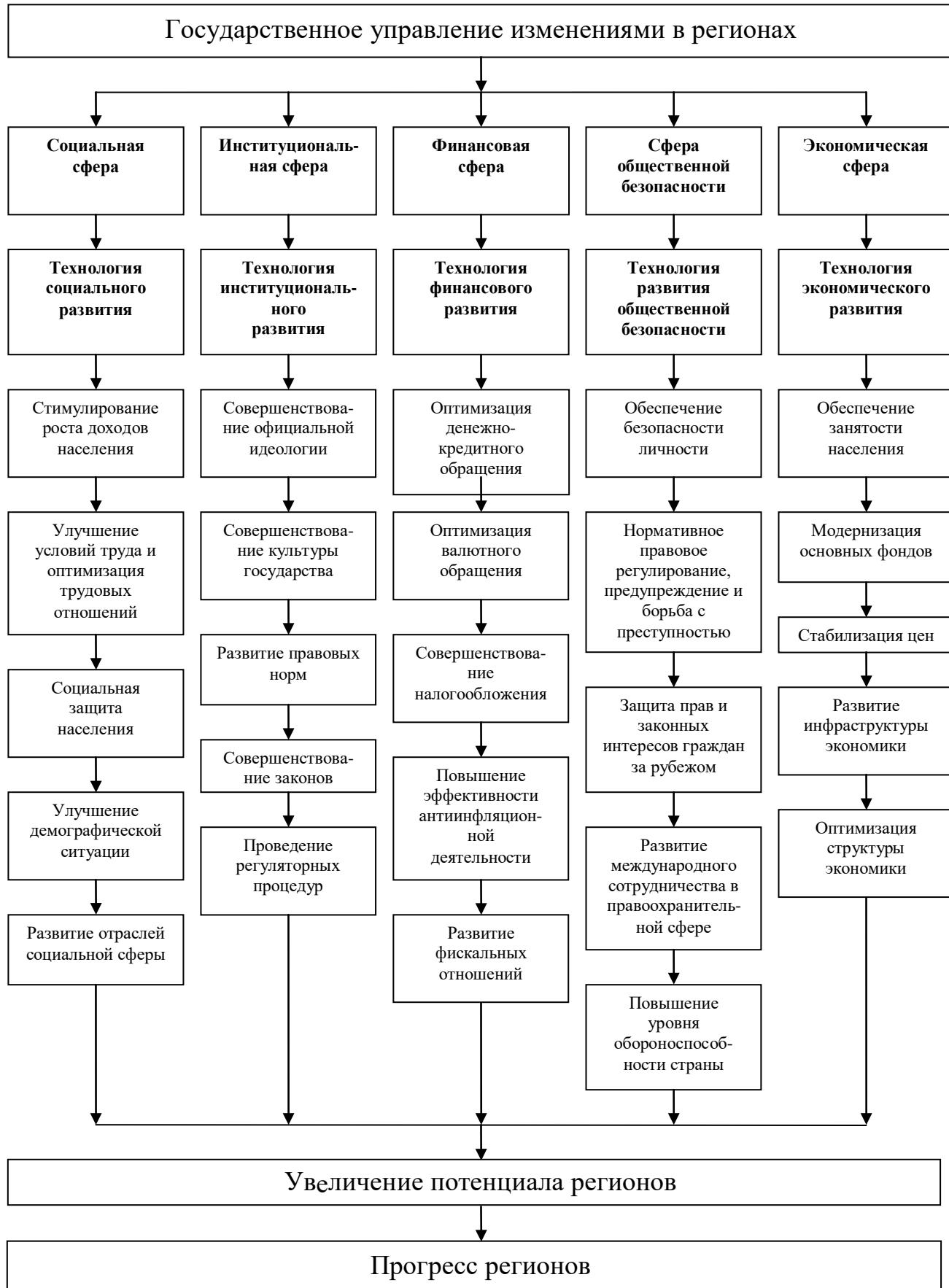
Государственное управление развитием регионов и государственное управление функционированием регионов обуславливают необходимость пересмотра устоявшихся алгоритмов взаимодействия федерального центра и регионов по организации УРР, и перехода к государственному управлению изменениями, направленному на адаптацию регионов к изменяющимся требованиям внешней и внутренней среды (рис. 4).



*Рис. 4: Структурная организация государственного управления изменениями в регионах*

Ключевыми факторами эффективности государственного управления изменениями в регионах являются, прежде всего, совершенствование коммуникации между федеральным центром и регионами, их заинтересованное, активное участие в нововведениях (Милютин, 2018). Учёт этих

факторов способствует повышению гибкости и адаптивности к изменениям, что позволяет минимизировать время адаптационного периода и количество сопутствующих затрат. Изменения носят масштабный характер и затрагивают все сферы жизнедеятельности регионов (рис. 5).



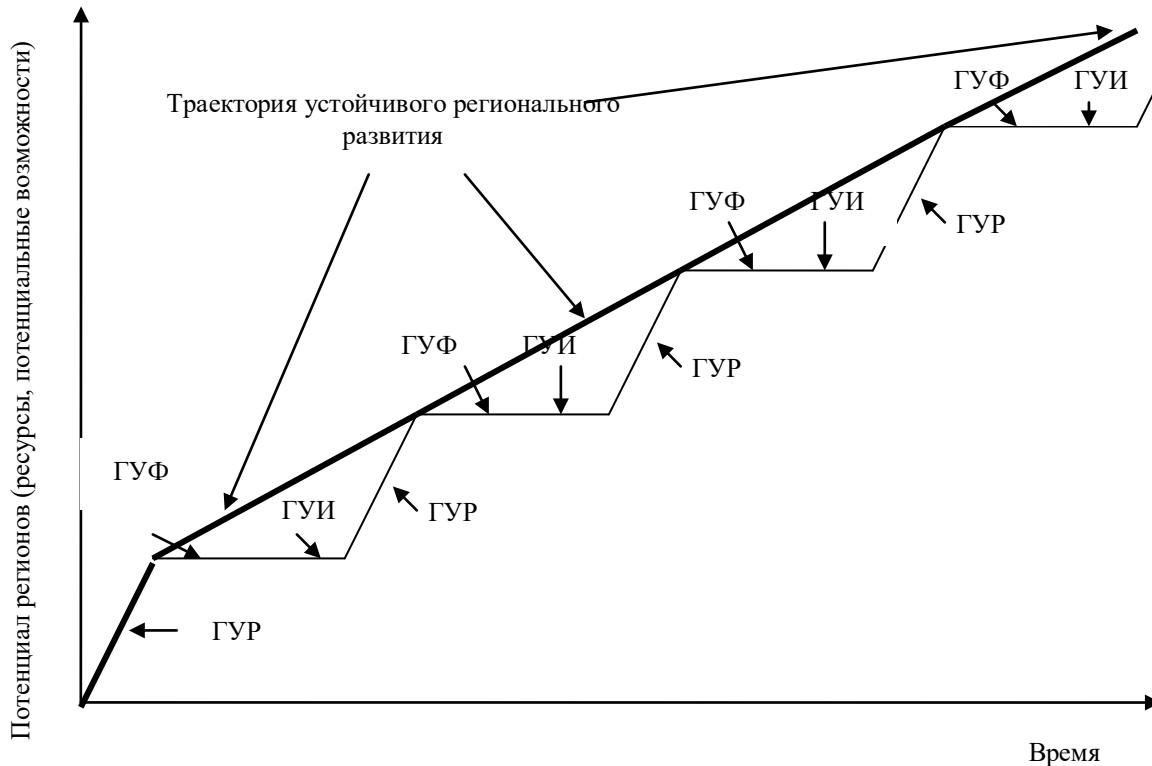
*Pic. 5:* Логическая схема развития сфер жизнедеятельности регионов



Синергия государственного управления развитием регионов, государственного управления функционированием регионов и государственного управления изменениями в регионах обеспечивает поддержание устойчивости регионального развития и обуславливает способность регионов

*О способе формирования устойчивости регионального развития Логика формирования УРР представлена на рис. 6.*

продолжать своё развитие в долгосрочной перспективе, сохраняя и увеличивая уровень своего благосостояния и благополучия за счёт роста потенциала регионов и их прогресса (Антохина, 2022).



*Рис. 6:* Логическая схема формирования устойчивого регионального развития:  
ГУР – государственное управление развитием, ГУФ – государственное управление  
функционированием, ГУИ – государственное управление изменениями

Государственное управление развитием регионов преследует долгосрочные цели, направленные на активное использование инноваций и максимальное раскрытие потенциала. Однако определенный предел возможностей ограничивает рост потенциала регионов. По достижении этого предела наступает необходимость закрепить достигнутый уровень и обеспечить стабильное функционирование регионов на основе достигнутых результатов. В связи с этим, фокус государственного регионального управления смещается с развития на поддержку функционирования регионов.

Государственное управление функционированием регионов осуществляется с целью эффективного использования их потенциала, который уже достигнут на определенном уровне. Оно нацелено на настоящее

время, которое всегда сопряжено со степенью неопределенности, возникающей из-за постоянных изменений в глобальной, внешней и внутренней среде. Для сохранения достигнутых возможностей необходимо предпринимать адаптационные меры, осуществлять государственное управление изменениями в регионах и обеспечивать переход к новому уровню государственного регионального управления.

Процесс государственного управления изменениями в регионах заключается в постоянной корректировке процесса развития региона, обновлении структуры его жизнедеятельности и поиске новых возможностей. Основная задача федерального центра и регионов на данном этапе заключается в сокращении времени изменений и минимизации деструктивного влияния факторов на жизнедеятельность регионов.

Реализация совместных действий федерального центра и регионов в рамках государственного управления развитием регионов, государственного управления функционированием регионов и государственного управления изменениями в регионах обеспечивают целенаправленность и организованность действий регионов по наращиванию их потенциала, повышению уровня его использования и, как следствие, прогрессу регионов – видимым положительным изменениям его жизнедеятельности.

Потенциал регионов представляет собой совокупность ресурсов, преимуществ и возможностей, которыми обладают территории. Увеличение потенциала отражает способность регионов развиваться в устойчивом режиме на долгосрочную перспективу и обеспечивать их прогресс.

Прогресс регионов – это видимые положительные изменения в их жизнедеятельности, обусловленные движением от состояния с одним уровнем развития к состоянию с более высоким уровнем.

Увеличение потенциала регионов и их прогресс свидетельствуют о достижении целей регионального развития – рост благополучия и благосостояния регионов. Благополучие регионов определяется как совокупность условий и факторов, обеспечивающих достойную жизнь населения на территории страны. Оно напрямую определяет уровень благосостояния регионов, отражающее общее состояние качества и уровня жизни и характеризующее степень комфортности проживания на той или иной территории (Невеличко, 2022; Мордасов, 2016).

Для контроля уровня региональной асимметрии в результате применения предложенной технологии УРР целесообразно использовать модифицированный коэффициент вариации:

$$V = \sqrt{\frac{1}{N} \sum_{i=1}^N \left( \frac{x_i}{\tilde{x}} - 1 \right)^2} \times 100\%$$

где  $x_i$  – значение показателя для региона  $i$ ;

$\tilde{x}$  – среднее значение показателя для системы регионов (страны): в случае объёмного показателя это среднее арифметическое по регионам, а в случае удельного показателя – средневзвешенное по численности населения регионов;

$N$  – число регионов в системе.

Чем выше коэффициент вариации, тем больше значение региональной асимметрии. Результаты исследований и мировая практика указывают на то, что уровень региональной

асимметрии следует считать естественным, если он не превышает 10% (Базылева, 2024).

Таким образом, в результате применения предложенной технологии УРР обеспечивается возможность достижения двуединой цели – рост благополучия и благосостояния регионов. Это обуславливает уменьшения разрыва между регионами-донорами и регионами-реципиентами, что проявляется, прежде всего, в выравнивании уровня ВРП на душу населения, уменьшении разницы в доходах населения, в доступности социальных и коммунальных услуг, в уровне безработицы и т.д. Тем самым, УРР способствует преодолению региональной асимметрии, закрепляя и поддерживая соответствующие тенденции на долгосрочную перспективу.

## II. Заключение

Основные результаты и выводы исследования состоят в следующем:

1. Проанализированы результаты развития российских регионов с точки зрения их способности поддерживать состояние устойчивого развития, что дало основания сделать вывод о наличии стойкой тенденции к росту региональной асимметрии.
2. Предложен комплексный подход к решению проблемы региональной асимметрии на основе теории УРР, позволяющей объединить достижения науки и практики, и на этой основе сформировать технологию УРР.
3. Структурирован понятийный аппарат для единообразного толкования и понимания логики и особенностей формирования технологии УРР, трактующей решение данной проблемы на основе выдвижения соответствующей гипотезы, разработки методологии, формулирования основного закона УРР, обосновании модели, методики, концепции и технологии УРР.
4. Обоснована целесообразность применения метода системной идентификации исследуемых объектов для проведения системного моделирования структурной организации технологии УРР.
5. Предложена логическая схема технологии УРР, в которой устойчивость регионального развития обеспечивается на основе государственного управления, основными инструментами которой являются государственное управление развитием регионов, государственное управление функционированием регионов и государственное управление изменениями в регионах.

В работе осуществлено методологическое обоснование решения комплексной научно-прикладной проблемы формирования структурной



организации технологии УРР при помощи обобщения теоретических и практических положений системной теории УРР, раскрывающих содержание научно-методических подходов и достижений отечественного опыта этого научного направления.

Практическое значение полученных результатов заключается в разработанных методических подходах и обоснованных теоретических положениях, изложенных в исследовании и доведённых до уровня практических рекомендаций. Они представляют собой методическую базу для разработки структурной организации УРР и могут быть использованы при формировании государственной региональной политики и стратегии регионального развития России, разработке и совершенствовании законодательных актов.

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# Tax Evasion among Small Enterprise Owners in Tanzania: A Case of Retail Shops in Moshi Municipality, Kilimanjaro Region

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The study used a cross-sectional research design to collect information from 380 respondents in Moshi Municipality using survey questionnaire and interviews, mainly the key informant interview.

**Keywords:** *tax evasion, enterprise owners, retail shops, Moshi municipality and Tanzania.*

**GJHSS-E Classification:** H26



TAXEVASIONAMONGSMALLENTERPRISEOWNERSINTANZANIAACASEOFRTAILSHOPSINMOSHI MUNICIPALITYKILIMANJAROREGION

*Strictly as per the compliance and regulations of:*



# Tax Evasion among Small Enterprise Owners in Tanzania: A Case of Retail Shops in Moshi Municipality, Kilimanjaro Region

Prosper J Kimaro <sup>a</sup> & Amedeus H Tairo <sup>a</sup>

**Abstract-** Tax evasion and the presence of fraud in tax administration are phenomena which hit developing countries hardest, this can be witnessed from different developing countries, indicates that half or more of the taxes that should be collected cannot be traced by the government treasuries due to corruption and tax evasion. The general objective of the study was to assess factors responsible for tax evasion among small enterprise owners in Tanzania. Specifically, the study determined ways used by small enterprises owners in evading tax, examined the perception of retail shops owners on tax compliance and in the study area and examined factors influencing tax evasion among small enterprises owners in the study area.

The study used a cross-sectional research design to collect information from 380 respondents in Moshi Municipality using survey questionnaire and interviews, mainly the key informant interview. After data collection both descriptive and inferential analysis applied to deduce the results. Based on the title, objectives and the findings, the following can be concluded that false or altered documents are the main way used to evade tax followed by over/under valuation of assets, maintaining two sets of books and records, frequent or unusual use of cash and cashier's checks, cashing of received business checks, false billings and/or invoices, personal expenses paid with corporate funds and excessive loans to employees, friends and others as others way they use to evade tax. Further, most taxpayers are not able to correctly calculate tax due from them and may hence end up paying the incorrect amount. Also, most of the smallholder business, their level of compliance is greatly influenced by the tax amount due to TRA as well as majority of small business find the tax rates high and the costs, they incurred in tax compliance affects their compliance levels to a very great extent. It is recommended that the TRA/government must lower the tax rates, simplify tax return forms, intensify taxpayer education and continuously provide training to TRA technical staff. In so doing, it will not only smoothen the tax collection exercise, but it will increase the government revenue to be collected.

**Keywords:** tax evasion, enterprise owners, retail shops, Moshi municipality and Tanzania.

## I. INTRODUCTION

### a) Background to the Study

Globally, the primary purpose of taxation is to raise revenue for the government expenditures. Most of the government's fiscal requirements should be raised by taxation (Mlay, 2015). The government spends part of the money on services such as defense, legal and order which private enterprises cannot provide (Machogu, 2013). It also pays for services such as social security benefits and education. Small business owners play an important role in the tax system (Nkwe, 2013). Small enterprise owners are less tax compliant in comparison to large businesses and are considered as the 'hard to tax group' from the informal sector (Akinboade, 2015).

Most of the developed countries have a broad base of both direct and indirect taxes whereby the tax liability is covered by firms and households. More than 30% of developing countries are characterized by social-political and different administrative difficulties in operating their public financial system (OECD and DAC, 2016). Tax evasion and the presence of fraud in tax administration are phenomena which hit developing countries hardest, this can be witnessed from different developing countries, indicates that half or more of the taxes that should be collected cannot be traced by the government treasuries due to corruption and tax evasion (Abiola and Asiweh, 2012).

Global Financial Integrity (GFI) calculates that, developing countries loose between \$859 billion to \$1.06 trillion a year through illicit financial flows. Small business owners are responsible for collecting as well as remitting taxes (Gupta, 2013). In Africa, this situation is worse in most countries; the illiteracy rate is higher compared to European countries and United States of America (USA) (Mustapha, 2015). Likewise, Southern Asia is home to almost one-half of the global illiterate population (49%). Moreover, 27% of all illiterate adults live in sub-Saharan Africa, 10% in Eastern and South-Eastern Asia, 9% in Northern Africa and Western Asia, and about 4% in Latin America and the Caribbean whereas, less than 2% of the global illiterate population lives in the remaining regions combined (Central Asia, Europe and Northern America, and Oceania), the lowest literacy rates are observed in sub-Saharan Africa and in

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Southern Asia, Adult literacy rates are below 50% (UNESCO, 2017). Thus, in West African countries there are no emotion, due to different reasons as taxpayers claimed that filing of tax return is time-consuming exercise and affected by factors such poor quality of service provided by tax authorities and the illiteracy of the businessperson (Mahangila, 2017).

In East African countries, the problem of tax non-compliance is as old as taxes themselves (Mwansele, 2014). It occurs due to failure of performing a timely filing or submission of all required tax by taxpayers as well as not accurately reporting the tax liability in accordance with tax laws (Masawa, 2017). When there is a non-payment or late payment on the tax due, these are understatement of income and overstatement of expenses to deal with the situation (UNESCO, 2017). Most of the countries including Rwanda managed the non-declaration of sales by increasing the monitoring of sales transactions through Electronic Fiscal Devices (EFDs machines). In Kenya, the case sounds the same, however, SMEs practice towards the use of EFD machines has not been so effective (Kamote and Ngowi, 2015).

In Tanzania, following the tax laws and regulations, it is not an easy task; because the procedures take time, even professionals who are familiar with the tax requirements find it challenging (Masawa, 2017). However, small and medium enterprises have been observed by Kamote and Ngowi (2015) that, the issue of tax evasion can be influenced by different factors including economic conditions, social interaction and individual factors such as tax rates, change of government policies and personal financial constraints. In average, average Tanzanian spend 180 hours to file his/her tax return, means there are many complexities in filing returns, taxpayers find it easier not to accomplish their taxable activities until helped by a professional or forced by tax authorities (Schnepper, 2012).

The decrease of voluntary tax compliance decreases tax revenues, and this has tremendous effects (Adesina and Uyioghsa, 2016). The government of Tanzania has committed itself to continue with its policy of zero domestic borrowing for budget financing over the Medium-Term Expenditure Framework (URT, 2013). Therefore, this means that, government must look to other sources of revenue. However, in Tanzania, SMEs have been observed to have highest degree of not reporting their sales to the tax authority (Kamote and Ngowi, 2015), especially when transaction is conducted by cash for the sake of escaping tax as noted by Masawa, (2017). Therefore, little is known on tax evasion, thus this study aimed at examining tax evasion among small enterprise owners using retail shops in Moshi Municipality in Kilimanjaro Region, as a case study.

b) *Statement of the Problem*

Tax non-compliance and tax evasion exists in every country including Tanzania. It has been reported that domestic tax bases in East African countries are undermined by widespread tax avoidance and evasion (Adesina and Uyioghsa, 2016). In Tanzania, tax evasion is not a new phenomenon as it has been in existence for a long time. At the same time, increasing of domestic revenues is the priority of sub-Saharan African countries (Drummond *et al.*, 2012). Different efforts have been taken by the government of Tanzania by creating fiscal space and provide necessary public services to mobilize the government revenues. Furthermore, the government has formed Tanzania Revenue Authority (TRA) as government agency charged with the assessment of collection and accounting the taxes as an effort to increase revenues (Abiola and Asiweh, 2012). Moreover, there has been various attempts by the government to introduce Electronic Fiscal Device (EFD) machines to the business community, which reported achievement in revenue collection of an average of 1.3 trillion monthly (Masawa, 2017).

Despite the efforts done, still there are some reports of resistance over the use of EFD machines particularly on of subsequently producing/production of the EFD receipts to customers (Alphayo, 2017). Likewise, Kamote and Ngowi (2015) have noted that tax evasion remained a long-time unsolved challenge in Tanzania. Moreover, Ojochochogwu and Stephen (2012), Nyamweza *et al.*, (2014), Kamote and Ngowi (2015) and Alphayo (2017), reported the existence of non-compliance issues in Tanzania as small enterprise tend to evade to pay tax. This led to the loss of the huge amount of government money which justifies the need for this study to assess tax evasion to small enterprise owners in Tanzania. This study, therefore aimed at assessing tax evasion among the retail shops owners in Tanzania by picking Moshi Municipality, Kilimanjaro Region as a case study.

The general objective of the study was to assess factors responsible for tax evasion among small enterprise owners in Tanzania. Specifically, the study determined ways used by small enterprises owners in evading tax, examined the perception of retail shops owners on tax compliance and in the study area and examined factors influencing tax evasion among small enterprises owners in the study area. To capture the above specific objectives, the following research questions were answered: What are the ways used by small enterprises owners in evading tax in the study area? What are the perceptions of retail shops owners on tax compliance in the study area? And what factors influencing tax evasion among small enterprises owners in the study area?

Regarding the significant of the study, the findings from this study are deemed important in shaping the entire tax collection process and eliminating any factor inhibiting the government from smooth and fully tax collection. In so doing, this will enable the government to collect more revenues hence contributing significantly to the nation's socio-economic development. Findings are also expected to create awareness among the small business owners on the importance of timely paying tax and at the same time paying the required amount for the nation's development. Further, the findings from this study will be useful to policy makers, policy amendment and policy implementation on issues related with tax payment and tax evasion. This means, the study can provide the government with the knowledge it needs to create an effective and efficient tax policy framework to increase government tax collection.

The academicians and the researchers can use these findings when dealing with the same or related research activity. So, in the other way around, the findings from this study shall act as source of knowledge on matters pertaining with taxation. This study is in line with variety TRA regulations and orders such as the Tanzania Revenue Authorities by Act of Parliament No. 11 of 1995 as well as the TRA act Cap 399 and various Tax reforms of 2004 and 2017; hence becoming useful in day-to-day TRA business operation. Finally, it is a very nice study not only to TRA authority but also to the taxpayers as it stipulates clearly the responsibilities of both the community members and the government for smooth tax collection exercise.

## II. LITERATURE REVIEW

### a) Theoretical Review

This study was guided by the Theory of Individual Choice by Allingham and Sandmo (1972) as reported by Magiya (2014). The theory states that if a person receives a particular sum of the revenue, be there is an obligation for the purpose to choose what portion of the revenue to be termed as a value going to the tax authorities as tax. This method provides the practical outcome that compliance mainly does depend on enforcement. Nevertheless, it is vitally important to realize that an individual pays taxes for no other reason but for fear of being punished upon detected as being non-compliant. From the foregoing, the implication per the guidelines of this theory is that rational persons would simply file no taxable income. In this context, a rational individual refers to a utility of maximizing evasion of tax. Considering both the advantages of successfully deceiving the tax system and the dangers of being punished once detected of the cheating and for this reason the individual will honor the tax compliance requirements for fear of being penalized (Magiya, 2014).

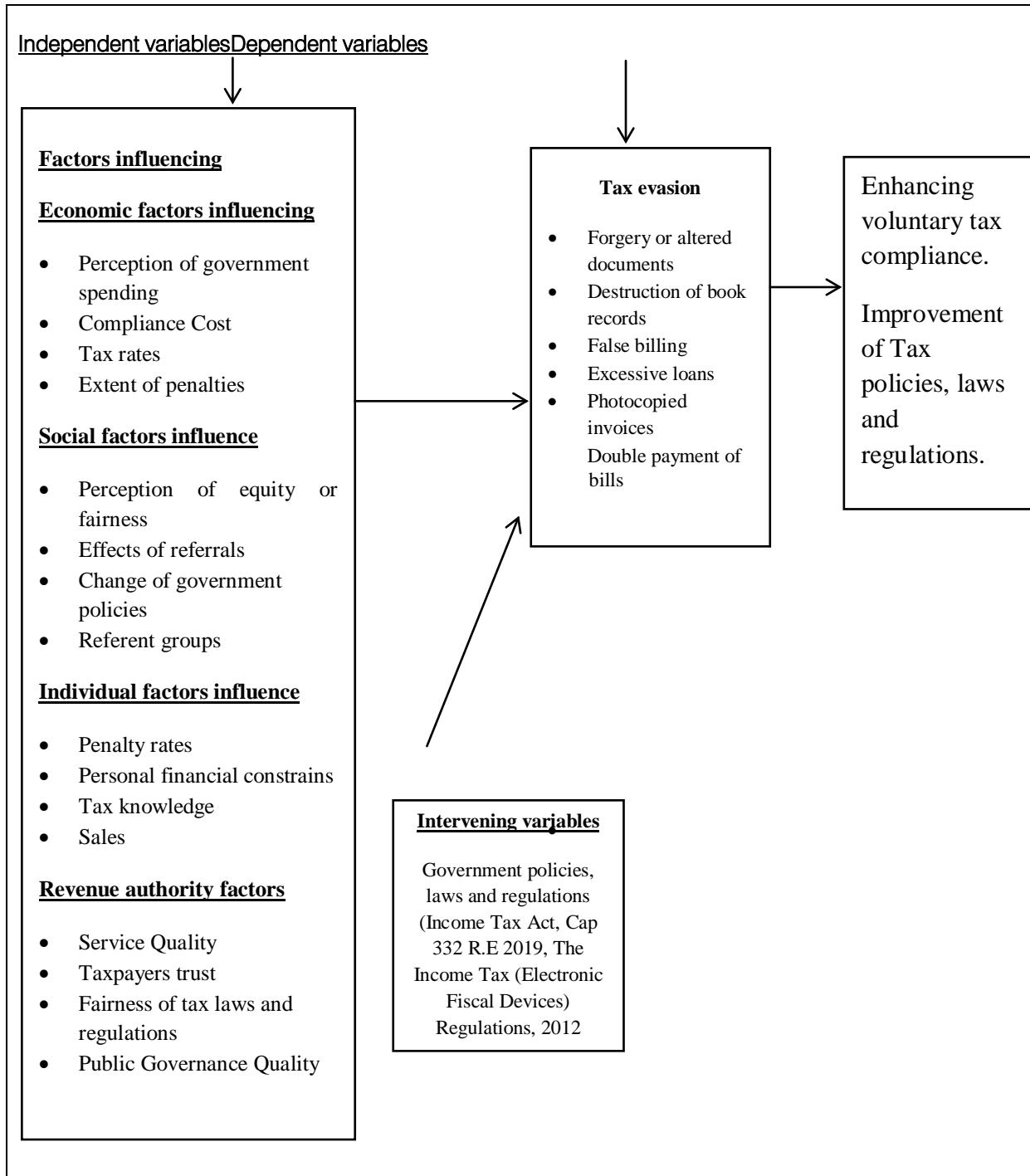
The Individual Choice theory has the following assumptions as stipulated hereunder: The theory assumes that individuals use their self-interests to make choices that will provide them with the greatest benefit. In this regard, people weigh their options and make choices which they think serve them best. It further assumes that human is purposive and goal oriented and they have sets of hierarchically ordered preferences or utilities which derive them in making choices.

Despite the usefulness of the Individual choice theory, it has the following weaknesses i.e. The Individual choice theory focuses on an individual action. While one could say that individual action drives large social structures, some rational choice theories critics argued that the theory is too limited in its explanation. Further, like all speculations about the nature of human behavior, people are not always rational and therefore during the irrational time they may make irrational choice.

This theory is chosen since it shows relationship of different factors that may results into tax evasion as suggested that taxpayers would also evade tax when he or she perceives the cost of compliance is high, moreover tax systems and procedures that are cumbersome tend to encourage tax evasion, furthermore taxpayers who feel that tax rate is high and punitive will evade tax. But generally, the Individual Choice theory appears appealing among other theories in discussing about the factors influencing tax evasion among small business owners in Tanzania.

### b) Conceptual Framework

The conceptual framework presents the relationship between the various variables in the study. This study assumes that the factors under discussion have a direct influence on tax evasion among small enterprise owners in Tanzania. The independent variables are economic, social and individual factors. Economic factors include government spending, compliance cost, tax rates and extent of penalties. Social factors are perception of equity or fairness, effects of referrals, change of government policies and referent groups. Individual factors are penalty rates, personal financial constraints, tax knowledge and sales. The dependent variable for the study is tax evasion by small enterprise owners while government policies and regulations are the intervening variables for this study.



Source: Researcher's Own Construction, (2024)

Figure 1: The Conceptual Framework

### III. RESEARCH METHODOLOGY

The study used cross-section research design. This design was used because it allowed comparison of different variables at the same time hence making the exercise more flexible and economical. This study adopted a cross-sectional research design to collect the required information. It further gave room to collect information at one point in time which saved time and other resources required to accomplish the work as

recommended by Creswell, (2007). In this respect, the researcher moved from one business to another collecting information regarding the factors influencing tax evasion among the small business owners.

The study was conducted in Moshi Municipality, Kilimanjaro Region. Moshi is a municipality and the capital of the Kilimanjaro Region in the north eastern Tanzania. As of 2022, the municipality has an estimated population of 201,150 and a population density of 3,409

persons per km<sup>2</sup> (Moshi Municipal Council, 2024). The study was carried out within selected retail shops in Moshi Municipality. The Municipal was selected for study because it was reported in the annual Taxpayers' Appreciation Week (2022) that despite of increasing Tax collection amount in Moshi still this region experiences higher incidence of tax evasion among small and medium enterprises owners when conducting their business activities (TRA-Kilimanjaro Tax Region Report, 2024).

The target population of this study was 7500, currently known number of retail shops in Moshi municipality based on 2020 statistics. Simple random sampling was used to get the respondents from different retail shops in the study area. The sample size for this study was 380 retail shop owners obtained using Yamane formula (1967).

$$n = \frac{N}{1+Ne^2}$$

Where by:

$n$  = estimated individual sample size,

$N$  = total number of people within the study area,

$e$  = level of precision, was 5% (0.05) used to obtain manageable respondents

The researcher gathered both quantitative and qualitative data from primary and secondary sources. Quantitative data included the age of respondents, income level, sex and marital status of respondents, while qualitative data included characteristics of tax evasion rate according to the type of businesses, causes of tax evasion in small enterprises, the ways used by businesspeople to evade tax, and challenges

#### Regression Equation

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \beta_5 X_5 + \beta_6 X_6 + \beta_7 X_7 + \beta_8 X_8 + \beta_9 X_9 + \beta_{10} X_{10} + \beta_{11} X_{11} + \beta_{12} X_{12} + \beta_{13} X_{13} + \beta_{14} X_{14} + \beta_{15} X_{15} + \beta_{16} X_{16} + e \dots \quad (i)$$

Whereby,

$X$  = dependent variables in this case (Tax evasion);  $\beta_1, \beta_2, \beta_3$  = Regression constants;  $e$  = Error term;  $X_1$  = Government spending in TZS (Good or Bad);  $X_2$  = Compliance Cost in TZS (High or low);  $X_3$  = Tax rates in TZS (High or low);  $X_4$  = Extent of penalties in TZS (High or low);  $X_5$  = Perception of equity or fairness (Good or Bad);  $X_6$  = Effects of referrals (Good or Bad);  $X_7$  = Change of government policies;  $X_8$  = Referent groups (Good or Bad);  $X_9$  = Penalty rates in TZS (High or low);  $X_{10}$  = Income TZS (High or Low);  $X_{11}$  = Sales in TZS (High or low);  $X_{12}$  = Education (High or low);  $X_{13}$  = Service Quality (Good or Bad) and  $X_{14}$  = Taxpayers Trust (High or Low).

According Mugenda and Mugenda, (2009) the rule of thumb, for a construct to be valid, the value of alpha coefficient should be greater or equal to 0.7. Therefore, for that reason the instrument was pre-tested for internal consistency using Cronbach's alpha ( $\alpha$ ) coefficient. A Cronbach's alpha obtained that ranges

faced by Tanzania Revenue Authority on reducing tax evasion in Moshi Municipality, Tanzania.

This study employed different data collection methods including survey and interview as explained in the sub-sequent section below: A survey questionnaire was administered to 380 small enterprise owners. The survey included both open-ended and closed-ended questions. Respondents were met at their business places and were asked for their consent to participate in the study. The method enabled the researcher to collect adequate information required to accomplish the study. The other method used for data collection was an interview basically key informant interview (KIs). The Key Informants were selected based on their personal experiences in business and on the factors influencing tax evasion by the small enterprise owners in Moshi Municipality. There were two (2) face to face interviews from TRA tax officers and three (3) face to face interviews from small business owners. A notebook and sounder recorder were used to record the information provided by the key informants.

In data analysis, both qualitative and quantitative techniques were used in this study and the collected data were through questionnaire and interviews were coded and analyzed using Statistical Package for Social Science (SPSS) computer software. In determined ways used by small enterprises owners in evading tax, a descriptive statistic with frequencies and percentages was employed while in determined the perception of retail shops owners on tax compliance principal component analysis was used. Regarding the factors influencing tax evasion among small enterprise owners in the study area, multiple linear regression analysis was applied.

*Table 1: Reliability Test*

Variable	Response	$\alpha=Alpha$	Comment
Economic factors	10	0.701	Reliable
Social factors	10	0.722	Reliable
Individual factors	10	0.819	Reliable
Perception	10	0.708	Reliable

## IV. FINDINGS AND DISCUSSION

### a) Ways used by Small Enterprises' Owners in Evading Tax

To understand tax evasion among small enterprises owners it was very important to understand ways used by small enterprises owners to evade tax in the study area, (Table 2).

*Table 2:* Kind of Tax Evasion Mostly used by Retail Shops Owners (n=380)

Tax evasion practiced	Percentages				
	Strong Agree	Agree	Neutral	Disagree	Strongly Disagree
Maintaining two sets of books and records	27.4	34.7	30	7.9	0
False or altered documents	27.9	48.4	16.8	3.7	3.2
Over/under valuation of assets	28.9	38.9	21.6	8.4	2.1
False billings and/or invoices	25.3	30.5	23.7	15.8	4.7
Excessive loans to employees, friends and others	19.5	35.3	22.6	19.5	3.2
Frequent or unusual use of cash and cashier's checks	26.8	36.8	4.7	31.1	0.5
Cashing of received business checks	26.3	35.3	10.5	16.8	11.1
Photocopied invoices and bills, instead of originals	23.2	31.1	16.3	25.8	3.7
Personal expenses paid with corporate funds	16.3	26.8	24.7	29.5	2.6
Double payment of bills	17.4	25.3	18.9	32.6	5.8
More than one endorsement of checks cashed	16.3	26.8	19.5	34.2	3.2

The findings in Table 3 indicate that 76.3% of the respondents were using false or altered documents to be one of the ways they use to evade tax, 16.8% were not sure and 6.7% of the respondents disagreed. Further, the findings indicate that 67.8% of the respondents agreed that over/under valuation of assets is one of the ways they use to evade tax, 21.6% were not sure and 10.5% of the respondents disagreed on the same.

In addition, the findings revealed that 62.1% of the respondents agreed that keeping two sets of books and records is one method they normally use to avoid paying taxes, 30% were unsure and 7.9% disagreed with the assertion. It also shows, that 62.1% of the respondents agreed that using cash and cashier's checks frequently or unusually was one method they used to evade taxes, 4.7% were unsure, and 31.6% disagreed. Results showed that 10.5% of respondents were unsure and 27.9% disagreed, while 61.6% of respondents agreed that cashing received business checks is one of the methods of tax evasion.

Furthermore, the findings show that 20.5% of respondents disagreed, 23.7% were unsure, and 55.8% of respondents agreed that using false billings and/or invoices is one of methods of tax evasion. The findings also indicate that 54.8% of respondents agreed that excessive loans to employees, friends and others were other methods used to evade taxes, while 22.6% were unsure and 22.7% disagreed. About 54.3% of respondents agreed that one way they use to evade tax is by using copies of invoices and bills rather than the

originals. In this regard, 16.3% were unsure and 29.5% disagreed on the same assertion.

Additionally, the findings show that 32.1% of the respondents disagreed, 24.7% were unsure and 43.1% of respondents agreed that paying personal expenses out of corporate funds is one of the methods of tax evasion. Findings further, indicate that 43.1% of respondents agreed that using multiple endorsements on checks cashed is one of the methods used to evade taxes, 19.5% were unsure, and 57.4% disagreed. In addition, 38.4% of respondents disagreed, 18.9% were unsure and 42.7% of respondents agreed that paying bills in full twice is one of the methods of tax evasion.

This study findings are in line with the findings of Aanu, & Ojochogwu, (2012) who also reported that most of the business owners tend to avoid tax through different ways. The most observed by tax collection authority was through having two sets of books and records that they tend to record different business records at the same time and manipulating records that they tend to share with the tax authority especially before tax assessment. This has forced tax authority to come with new system to determine the actual amount of tax a business should pay through the invention of Point-of-sale system including the use of electronic fiscal devices as well. Even though the introduced system has not been completely efficient, but it has increased tax collection significantly in different places which have adopted the system.

These results concur with those of Abdullai (2012), who found that most of the small business

owners in East Africa attempt to evade taxes by using fictitious and altered business documents. They also believe that they can outwit tax investigators even though most of them fail. The most popular method used is the creation of false billings and invoices to avoid paying taxes and recovering money owed.

This finding is in line with that of Abertbach and Christensen (2017) who found that most business owners use their friends, family and employees as a means of evading paying required tax by pretending to give them loans. When they don't repay the money on time, it negatively affects their business and therefore use that as an excuse to mislead tax assessments in their enterprises.

These results are consistent with those of Abiola (2012), who investigated the various strategies used by small and medium-sized businesses to evade taxes in

Nigeria. Abiola (2012) identified three main strategies used by small and medium-sized businesses to evade taxes including among others keeping two sets of books and records, making false billing claims, falsifying documents and using photocopies of invoices and bills in place of the originals. Another study by Abiola and Asiweh (2012) confirmed this and stated that most of the business owners in Nigeria evade paying taxes by keeping two sets of books and records, billing customers incorrectly, altering documents and using copies of invoices and bills in place of the originals.

*b) Perceptions on Tax Compliance by Retail Shop Owners*

To understand the perception on tax compliance by retail shop owners in the study area the following depicted (Table 4).

*Table 4:* Perceptions on tax compliance by retail shop owners

Statement	PCA	
	Mean	Std. Deviation
Do you think there is need of improving tax system	2.344	1.02
Do you think tax compliance cost affects tax compliance	2.352	1.2
Do you think access to public utilities and services affects tax compliance	3.013	1.4
Do you think tax information influence tax compliance	2.389	1.01
Presence of different kind of tax encourages tax evasion	2.339	1.09
Do you think tax amount influences the compliance	2.412	1.3
Do you think tax collector authorities are not collecting tax fairly?	2.423	1.15
Average total	17.2	8.17
Total	2.4	1.2

According to Table 4 findings, respondents thought on whether there is a need of improving tax systems. Findings indicated that higher number of the respondents agreed with a mean of 2.344 with SD of 1.02 implying higher number of taxpayers believe that there was a need for improving tax collection authorities.

Regarding with whether tax compliance cost affects tax compliance, findings indicated that higher number of the respondents agreed that tax compliance cost affects tax compliance with a mean of 2.352 and SD of 1.2. Respondents were further asked on whether they think access to public utilities and services affects tax compliance and study findings indicated that higher number of the respondents was disagreed with the statement with a mean of 3.013 and SD of 1.4. This finding indicates that retail shop owners are not concerned with the presence of public devises when it comes to tax compliance.

About whether tax information influence the compliance findings indicated that higher numbers of the respondents were agreed with the statement with a mean of 2.3.89 and a SD of 1.01. This shows that tax information affects tax compliance among retail shops owners. Concerning with the presence of different types of tax encourages tax evasion. The findings indicate that the higher number of the respondents agreed that the presence of different kind of taxes influences tax evasion among retail shop owners with a mean of 2.339 and a SD of 1.09. This finding shows that higher number of retail shops owners is evading tax due to the notion that they pay much due to different types of the taxes.

Regarding whether tax amount influences the compliance, the findings in Table 8 further indicate that a mean of 2.412 and SD of 1.3 which shows that higher number of retail shop owners perceive tax amount can influence tax compliance. About whether tax collector

authorities are not collecting tax fairly, the findings indicate that higher number of retail shop owners perceive tax authorities to be unfair with a mean of 2.423 and a SD of 1.15. This shows that higher number of the respondents do not trust tax authorities when it comes to tax collection. The average mean of the responses was 2. This is an indicator that most of the respondents agreed to the statements on ways used by small enterprise owners in evading tax in the study area of which produced a SD of 1 implies varied responses.

c) *Different Factors Influencing Tax Evasion*

i. *Economic Factors Influencing Tax Evasion among Small Enterprise Owners*

Tax evasion among small business owners is influenced by several factors including economic factors, social factors, TRA service quality and individual factors. Table 5 presents the findings on how economic factors influence tax evasion among small business owners.

*Table 5:* Influence of Economic Factors on Tax Evasion among Small Enterprise Owners

Economic Factors	Percentages				
	Strong Agree	Agree	Neutral	Disagree	Strong Agree
Do you think Perception of government spending among small business owners is what Influencing Tax Evasion?	47.4	48.4	4.2	0	0
Does Compliance Cost in any way influencing Tax Evasion influences among small business?	27.9	52.6	11.1	3.2	5.3
Does Tax rate influences Tax Evasion Tax among small business owners?	31.1	45.3	18.4	3.7	1.6
Does Extent of penalties Influencing Tax Evasion?	27.9	37.9	24.2	10	0

The findings in Table 5 indicates that 95.8% of the respondents agreed that Perception of government spending among small business owners is one among the factors influencing tax evasion. About 4.2 % of the respondents were not sure and non, disagreed on the same. Moreover, the findings indicate that 80.5% of the respondents agreed that compliance cost influencing tax evasion influences among small business, 11.1% were not sure and 8.3% disagreed with the same statement.

Findings further indicate that 76.4% of the respondents agreed that tax rate influences tax evasion tax among small business owners, 18.4% were not sure with the same statement. However, the findings indicate that 65.8% of the respondents agreed that the extent of penalties influence tax evasion though, 24.2% of the respondents were not sure, on the same statement. The average mean of the responses was 2 which indicates that most of the respondents agreed on the statements that economic factors influence tax evasion in the study area. The results had a SD of 1 implying varied response. These findings are matching with the findings of Abor & Quartey (2010) who also reported that most of small and medium enterprises tend to evade paying tax due to the negative perception that the tax collected by the authorities are not used effectively by the government and therefore, they ignore its relevance in their lives and aimed to evade paying tax in every opportunity they will have in their businesses. This is what forces most of the tax collection authorities to use force to make them paying tax which also creates hatred

among them results to unfair tax assessment as well as dying of many businesses as well.

These findings also correspond with the findings of Adams, (2010) who also investigated economic factors influencing tax evasion. He reported that tax economic situation of taxpayers is what influencing tax evasion among business owners to the point that tax collection authorities impose penalties that increases difficulties among taxpayers. This creates hate and efforts of evading tax in future as well and recommended that if taxpayers could focus on maintaining fair penalties based on their economic status will encourage taxpayers to pay tax willingly as well as to avoid evading tax in their businesses.

ii. *The Influence of Social Factors on Tax Evasion among Small Enterprise Owners*

It was very important to understand social factors influencing tax evasion in the study area, (Table 6).

*Table 6:* Social Factors Influencing Tax Evasion among Small Enterprise Owners

Social Factors	Percentages				
	Strong Agree	Agree	Neutral	Disagree	Strong Disagree
Do you think perception of equity or fairness influencing tax evasion	27.9	27.9	32.1	10.5	1.5
Does the effects of referrals is what Influencing Tax Evasion	16.8	21.6	30	25.8	5.8
Do you think Change of government policies is what Influencing Tax Evasion	25.8	44.2	20.5	9.5	
Does Referent groups influence Tax Evasion	38.4	46.3	9.5	2.6	4.2

The findings in Table 6 indicate that 84.7% of the respondents agreed that Referent groups influencing Tax Evasion, 9.5% were not sure, and 6.8% disagreed with the statement. Findings indicate that 70% of the respondents were agreed that the Change of government policies is what Influencing Tax Evasion, 20.5% were not sure, as well as 9.5% were disagreed with the statement. Findings indicate that 55.8% of the respondents were agreed that they think perception of equity or fairness is what influencing tax evasion, 32.1% were not sure, as well as 12.1% were disagreed with the statement. Findings indicate that 38.4% of the respondents agreed that the effects of referrals are what Influencing Tax Evasion, 30% were not sure, and 31.6% disagreed with the statement.

These study findings are in line with the findings of Adeyemi (2012) who reported that most of taxpayer's

especially those who are at startup phase especially among small and medium enterprises they have negative perception of equity or fairness in tax, this influences them to engage in tax evasion. As most of the business owners were asked if they think tax they pay is used effective by the government and majority claimed to think that the government is not spending wise at all this could be due to the reported case of corruption as well as well as miss use of government fund among government leaders in their community as well which all together encourage tax evasion.

### iii. Individual Factors Influencing Tax Evasion among Small Enterprise

Individual factors were found to be some of the pertinent factors influencing tax evasion among the small business owners in Tanzania, (Table 7).

*Table 7:* lndividual Factors Influencing Tax Evasion among Small Enterprise Owners

Individual Factors	Percentages				
	Strong Agree	Agree	Neutral	Disagree	Strong Disagree
Do you think higher Penalty rates is what Influencing Tax Evasion	22.1	58.4	14.7	2.1	2.6
In any way do believe Personal financial constrains Influencing Tax Evasion among business owners	26.8	38.4	24.7	10	0
Is lack of Tax knowledge being what Influencing Tax Evasion among business owners	28.4	29.5	29.5	11.1	1.6
do you think business sales is what influencing tax evasion	22.6	24.7	29.5	19.5	3.7

Findings indicate that 80.5% of the respondents agreed that they think higher Penalty rates is what Influencing Tax Evasion, 14.7% were not sure, as well as 4.7% disagreed with the statement. Findings indicate that 65.2% of the respondents were agreed to believe Personal financial constrains Influencing Tax Evasion among business owners, 24.7% were not sure, as well as 10% were disagreed with the statement. Findings indicate that 57.9% of the respondents were agreed that lack of Tax knowledge is what Influencing Tax Evasion

among business owners, 29.5% were not sure, as well as 12.7% were disagreed with the statement. Findings indicate that 47.3% of the respondents agreed that business sales are what influencing tax evasion, 29.5% were not sure, and 23.2% disagreed with on the same.

These findings match the findings of World Bank, (2013) that most of small and medium enterprises engaged in the tax evasion due to their personal financial constrains such as heavy family responsibility and level of poverty of other family member's not just in

meeting their daily basic needs such as food and shelter but also difficult of paying other expenses such as school fees, electric bills and sanitation bills. That most of small and medium enterprises owners uses the same business to support their family and relatives financially which in turn encourages them to start evading tax when they found an opportunity to so.

iv. *TRA Service Quality Influencing Tax Evasion among Small Enterprise Owners*

TRA quality of service is another factor that influence tax evasion among small enterprises owners in Tanzania, (Table 8).

*Table 8:* TRA Service Quality Factors Influencing Tax Evasion among Small Enterprise Owners

Authority factors	Percentages				
	Strong Agree	Agree	Neutral	Strong Agree	Strong Agree
I believe tax system and laws are fair in our area	15.3	33.7	32.6	16.3	2.1
The tax burden I get is fair given the expenditure in social services are very high	25.8	48.9	18.9	6.3	0.0
The benefits I get from the government in exchange for my tax are reasonably low	40.5	53.7	3.2	1.6	1.1
The tax I pay to the government are reasonably high unnecessarily	27.9	51.6	11.6	3.7	5.3
Current laws and regulations require me to pay more than what I earn?	29.5	45.3	18.9	4.2	2.1
The benefits I get from the government in exchange for my tax are reasonably high	24.2	37.9	28.4	9.5	0.0
TRA are trustworthy, transparent and treats taxpayers in a respectful manner.	25.8	28.4	28.9	13.7	3.2
The appearance of the TRA physical facilities, equipment, personnel, and communication materials is good	18.4	30.0	23.7	23.2	4.7
TRA has highest ability to perform the promised service dependably and accurately.	23.7	45.8	20.5	10	0.0
TRA has highest willingness to help taxpayer and provide prompt service.	38.9	55.8	2.1	1.1	2.1
TRA employees have the required caring, individual attention to taxpayers	27.9	46.8	18.4	4.2	2.6

It is true that the TRA service quality factors influence tax evasion among small business owners. Findings indicate that 94.7% of the respondents agreed that TRA has highest willingness to help taxpayer and provide prompt service, 2.1% were not sure, as well as 3.2% were disagreed with the statement. Findings indicate that 94.2% of the respondents were agreed that the benefits they get from the government in exchange for my tax are reasonably law, 3.2% were not sure, as well as 2.7% were disagreed with the statement. Findings indicate that 74.8% of the respondents were agreed that Current laws and regulation requires them to pay more than what they earn, 18.9% were not sure, as well as 6.3% were disagreed with the statement. Findings indicate that 74.7% of the respondents were agreed that the tax burden they get is fair given the expenditure in social services are very high 18.9% were not sure, as well as 6.3% were disagreed with the statement

Findings indicate that 79.5% of the respondents were agreed that 11.6% were not sure, as well as the tax I pay to the government are reasonably high

unnecessarily 9% were disagreed with the statement. Findings indicate that 74.1% of the respondents were disagreed that TRA employees have the required caring, individual attention to taxpayers, 18.4% were not sure, as well as 6.8% were agreed with the statement. Findings indicate that 69.5% of the respondents were agreed that TRA has highest ability to perform the promised service dependably and accurately, 20.5% were not sure, as well as 10% were disagreed with the statement. The benefits they get from the government in exchange for my tax are reasonably high. Findings indicate that 62.1% of the respondents were agreed that, 28.4% were not sure, as well as 9.5% were disagreed with the statement. TRA are trustworthy, transparent and treats taxpayers in a respectful manner. Findings indicate that 54.2% were disagreed with the statement, 28.9% were not sure, as well as 16.9% of the respondents were agreed that statement. Findings indicate that 49% of the respondents were agreed that they believe tax system and laws are fair in their business, 32.6% were not sure, as well as 18.4% were

disagreed with the statement. Findings indicate that 48.4% of the respondents agreed that the appearance of the TRA physical facilities, equipment, personnel, and communication materials is good, 23.7% were not sure, and 27.9% disagreed with the same statement. This is to say that TRA procedures and quality of its services determine substantially the type and magnitude of tax evasion among the small business owners in Tanzania at large.

## V. CONCLUSION AND RECOMMENDATIONS

### a) Conclusion

Based on the title, objectives and the findings the following can be concluded: On the ways used by small enterprises owners in evading tax it is concluded that false or altered documents are the main way used to evade tax followed by over/under valuation of assets, maintaining two sets of books and records, frequent or unusual use of cash and cashier's checks, cashing of received business checks, false billings and/or invoices, personal expenses paid with corporate funds and excessive loans to employees, friends and others as others way they use to evade tax.

Regarding the perception of retail shops owners on tax compliance it can be concluded that majority of taxpayers are not able to correctly calculate tax due from them and may hence end up paying the incorrect amount. Also, it is concluded that to the majority of the small business, their level of compliance is greatly influenced by the tax amount due to TRA as well as majority of small business find the tax rates high and the costs, they incurred in tax compliance affects their compliance levels to a very great extent. It is further concluded that majority of small businesses accessed the public utilities to some, great and very great extent and the remaining business owners claimed to be not satisfied at all which discouraged complying with tax and start evading tax since majority of small business in the study area strongly feel that there is need for an improvement of the tax systems in Tanzania.

On the other hand, social, economic, individual and TRA service quality factors influencing tax evasion among small enterprise in Tanzania can be concluded that perception of government spending among small business owners is what influencing tax evasion followed by compliance cost, tax rate, extent of penalties, tax payers perception of equity or fairness, the effects of referrals, change of government policies, referent groups, higher penalty rates, personal financial constraints, lack of tax knowledge, business sales, unfair tax system and laws, the benefits received from the government in exchange for my tax as well as services received from tax collection authorities are factors that influencing tax evasion among small enterprise owners in the study area.

### b) Recommendations

To ameliorate tax evasion among the small business owners in Moshi Municipality and elsewhere in the country, the following is recommended:

- (i) Tax rates and penalty rates and tax rates should be lowered to enhance collections. Lower tax rates make it less attractive to evade taxes as opposed to high rates. High penalty rates will increase compliance but only marginally. These penalty rates should be kept at an optimum level not to discourage taxpayers.
- (ii) Tax Return forms should be simplified, and accompanying notes reconstructed into plain language that can be understood by all taxpayers. They should also be clear and brief but complete in detail to enable the taxpayers fill the return. In addition, where possible, simple computed examples should be incorporated in the notes. Returns should also be made readily accessible to both manual and computerized taxpayers.
- (iii) There is a need to intensify taxpayer education to reduce tax evasion and enhance compliance among the business owners/taxpayers. This will enlighten the taxpayers on the existing laws and any other tax liability. This will further provide a forum for taxpayers to air out their complaints and or compliments.
- (iv) The authority should strive to give taxpayers high quality services as stipulated in the corporate plan. Most of the services provided by the authority like refunds, remissions and dispute resolutions were noted to be poor and thus there is every reason to improve them.
- (v) There is need to continuously train technical staff to keep abreast with the tax laws and any other changes therein. In this way, the officers will impart proper and correct knowledge to taxpayers during the time of audits. Recruitment of new taxpayers by the authority should be intensified and enhanced. This will broaden the tax base and reduce pressure in complying among taxpayers.

### c) Suggestions for Future Research

It is recommended that future research to be done to investigate what has contributed to the low tax education among small and medium enterprises in Tanzania as almost all of business owners claimed to have low awareness from tax authorities and further research can also be undertaken on factors affecting income tax compliance among small business in other regions of Tanzania. A study on the relationship between voluntary tax compliance strategy and the deterrence measures kind of strategy as well.

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# Pedreira Popular Park in Ijuí/RS - The Tip of the Iceberg

By José Dalmo Silva de Souza, Sérgio Luís Allebrandt & Dieter Rugard Siedenberg

**Abstract-** The text addresses the controversies about conceptions of development processes and locates the polarizations around the concepts of economic development and economic growth, as well as *social* development and *economic development* and their most common qualifiers. As an illustration of the theoretical discussion and link with the empirical reality is used the figure of the urban park Parque Popular da Pedreira located in the municipality of Ijuí, in the northwest region of the State of Rio Grande do Sul. From the argument emerges the mental figure of an iceberg invoked virtually as reality. Figuratively, although the Park can be characterized by its most visible end, in this case, the social aspect nevertheless this can not do without the non-visible and submerged part. The economic aspect constitutes the true basis of the support of the whole set.

**Keywords:** *economic development, well-being, social development, economic growth, pedreira popular park.*

**GJHSS-E Classification:** LCC: HT391



PEDREIRA POPULAR PARK IN IJUI RS THE TIP OF THE ICEBERG

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# Pedreira Popular Park in Ijuí/RS - The Tip of the Iceberg

## Parque Popular da Pedreira em Ijuí/RS – A Ponta do Iceberg

José Dalmo Silva de Souza <sup>a</sup>, Sérgio Luís Allebrandt <sup>a</sup> & Dieter Rugard Siedenberg <sup>b</sup>

**Abstract-** A argumento principia pela questão do papel e função do indivíduo na sociedade. O texto aborda as controvérsias sobre concepções de processos de desenvolvimento e localiza as polarizações em torno dos conceitos de desenvolvimento e crescimento econômicos bem como de *desenvolvimento social* e *desenvolvimento econômico* e seus qualificativos mais comuns. Como ilustração da discussão teórica e vinculação com a realidade empírica é utilizada a figura do parque urbano Parque Popular da Pedreira situado no município de Ijuí, na região noroeste do Estado do Rio Grande do Sul. Emerge do argumento a figura mental de um iceberg invocado virtualmente como a realidade. Figurativamente, embora o Parque possa ser caracterizado por sua extremidade mais visível, no caso, o aspecto social, todavia isso não pode prescindir da parte não visível e submersa. O aspecto econômico constitui a verdadeira base da sustentação de todo o conjunto.

**Palavras Chaves:** desenvolvimento econômico, bem-estar; desenvolvimento social, crescimento econômico, parque popular pedreira, mercado, liberalismo, intervencionismo.

**Abstract-** The text addresses the controversies about conceptions of development processes and locates the polarizations around the concepts of economic development and economic growth, as well as *social* development and *economic development* and their most common qualifiers. As an illustration of the theoretical discussion and link with the empirical reality is used the figure of the urban park Parque Popular da Pedreira located in the municipality of Ijuí, in the northwest region of the State of Rio Grande do Sul. From the argument emerges the mental figure of an iceberg invoked virtually as reality. Figuratively, although the Park can be characterized by its most visible end, in this case, the social aspect nevertheless this can not do without the non-visible and submerged part. The economic aspect constitutes the true basis of the support of the whole set.

**Keywords:** economic development, well-being, social development, economic growth, pedreira popular park.

### I. APRESENTAÇÃO

A busca para impor ordem ao caos na luta contra as incertezas da vida através do Conhecimento exigiu a formação de conceitos. Em Ciência, os conceitos podem assumir outros significados ou simplesmente se tornarem esvaziados de sentido. A Ciência Econômica trata da melhora das condições de existência da vida humana que se concretiza na satisfação de suas necessidades através do consumo

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de produtos. Pessoas produzem bens e serviços a partir dos fatores de produção e usam estes produtos para a satisfação de suas necessidades. O produto é tanto o resultado dos esforços do ser humano em melhorar sua condição de existência quanto, ao mesmo tempo, exatamente o fator que o levará a esse patamar superior de bem estar. Desenvolvimento é melhora das condições materiais de vida do ser humano. Assim, na Economia, o elemento essencial de análise é o Homem. Este trabalho objetiva expor a compreensão inicial da raiz econômica do processo como algo natural e inherentemente ligado ao humano e, por extensão, ao social e não constitui uma tentativa de sistematizar ou expor a historiografia dos conceitos relativos ao desenvolvimento econômico. A ilustração da questão em pauta será feita pelo Parque Popular da Pedreira em Ijuí/RS. Sobre este objeto serão tecidas as considerações no sentido de cristalizar a argumentação: desenvolvimento é desenvolvimento econômico e o processo contempla as exigências contidas no termo desenvolvimento social.

Ijuí, município do Rio Grande do Sul, com população estimada (IBGE, 2022) de 84.780 habitantes em 2022, está localizado na região noroeste do estado, distando 395 km da capital, Porto Alegre. A população urbana alcança 97% da população total. Sua economia baseia-se na agropecuária, nos serviços e comércio e na indústria. Em 2013 apresentou IDH de 0,832 (alto desenvolvimento). A sede municipal não possui nenhum parque público. Os espaços de lazer disponíveis à população restringem-se à Praça da República (praça central), praças urbanizadas e escolas que permanecem abertas nos finais de semana, especialmente o Campus da Universidade UNIJUÍ. Os moradores que não tem acesso aos clubes privados estão desassistidos de estruturas de lazer público. Esse problema se agrava nos finais de semana quando a população, principalmente da periferia, fica praticamente sem opções de lazer e sem espaços para desenvolver atividades culturais, esportivas e comunitárias. O Parque Popular da Pedreira é um projeto com recursos do Governo Federal (PAC2) e contrapartida do município e está alicerçado em quatro eixos: habitação, equipamentos públicos, urbanização e recuperação ambiental. Possui custo estimado em R\$15 000 000,00 (Quinze milhões de reais), com



investimentos em habitação que somam R\$5 000 000,00 (Cinco milhões de reais) em 80 apartamentos e 74 casas e beneficiam 179 famílias dos bairros Thomé de Souza e Pindorama. Em equipamentos públicos os investimentos totalizam R\$3 000 000,00 (Três milhões de reais) no conjunto Praça do PAC e Parque da Pedreira (área verde). Em infraestrutura estão orçados R\$5 200 000,00 (Cinco milhões e duzentos mil reais) e no setor ambiental, R\$1 000 000,00 (Um milhão de reais). No que se refere a sustentabilidade do projeto, serão beneficiadas 179 famílias, com Habitações de Interesse Social – HIS – em um total de 18 000 habitantes dos bairros e entorno e 70 000 habitantes da zona urbana do município. Outro ponto a se considerar é a extrema valorização imobiliária da área regional pelo aumento de preços dos imóveis bem como a elevação da arrecadação tributária (PERSICH, 2016).

Epistemologicamente o trabalho é conduzido pela visão subjacente à evolução do conceito abordado como objeto. Assim, a ciência econômica é tratada como uma ciência abstrata (teórica) de cunho (método) apriorístico e aplicada na descrição e explicação da realidade (MILL, 1974), no entanto, comportando, ao mesmo tempo, um elemento normativo que permite a intervenção na realidade. Como método de investigação privilegiou-se a pesquisa bibliográfica tanto para os conceitos quanto para a análise da intervenção tratada como fato e não, sob juízo de valor. Por tratar-se de um tema complexo e pouco abordado na literatura utilizou-se como ilustração da aplicação da teoria um caso concreto retirado da experiência empírica, o Parque Popular da Pedreira em Ijuí, RS. Utilizando-se de conceitos econômicos tais como Auto interesse, Maximização, Desconto hiperbólico, Cálculo econômico, Necessidades, Satisfação bem como da ideia de Esferas Autopoiéticas e elementos da Teoria dos Sistemas o trabalho constrói uma argumentação no sentido de demonstrar que Desenvolvimento é antes de tudo, Desenvolvimento Econômico. Para isso utiliza-se das ideias da reconhecida escola Cepalina, o Sistema Centro-Periferia (RODRÍGUEZ, 1981) e aplica-as ao caso concreto do Parque Popular da Pedreira em Ijuí, RS.

O texto está estruturado em quatro seções além desta APRESENTAÇÃO na qual os Objetivos, Elementos Metodológicos, caracterização do objeto empírico e a estrutura do trabalho são expostos. A INTRODUÇÃO situa a problemática tratada no texto; a seção DESENVOLVIMENTO ECONÔMICO, o principal segmento do trabalho, argumenta a tese da essencialidade do aspecto econômico mesmo em processos popularmente conhecidos como de desenvolvimento social. A ILUSTRAÇÃO traz a aplicação dos conceitos no sentido de descrever e explicar a realidade à luz da tese central. CONSIDERAÇÕES FINAIS retoma alguns argumentos, reforça a tese central e fecha o raciocínio proposto.

Finalmente, REFERÊNCIAS explicita as fontes citadas no trabalho.

## II. INTRODUÇÃO

Conforme Stephen Jay-Gold (1999) a luta pela incerteza inerente à vida encontra seu mais poderoso instrumento na capacidade do cérebro de impor sentido à confusão do mundo. A classificação é realizada através da separação de elementos em categorias baseadas em similaridades perceptíveis. Assim, a busca por impor ordem ao mundo e, como isso de alguma maneira ter capacidade para alterar a realidade exige a formulação de conceitos (THIRY-CHERQUES, 2012; MENDONÇA, 1994). Quando o tema é a melhoria das condições de vida das pessoas esse desafio é tão premente quanto necessário. Os conceitos se cruzam, se excluem, se aproximam e se distanciam e, às vezes, parecem dizer a mesma coisa. No entanto sempre permanece a forte impressão inicial de ruptura entre o econômico e o social. Esse distanciamento se acentua conforme se tenta lapidar os conceitos quer seja por adjetivações quanto à natureza (a preocupação com o desenvolvimento social levou ao conceito de desenvolvimento humano) quer quanto ao modo do desenvolvimento (local, regional, endógeno, sustentado). A tentativa de impor ordem a um mundo complicado tem trazido a complicação ao mundo conceitual. O uso do termo híbrido desenvolvimento socioeconômico é apenas uma acomodação formal e esvazia a discussão ao tentar contentar a todos abordando tudo que seja importante para quem quer que seja. O termo traz implícito o preconceito que desenvolvimento seja uma categoria superior ao crescimento e ao mesmo tempo sugere que tudo que os economistas julgam importante está contemplado assim como também aquelas coisas importantes demais para serem deixadas somente para eles.

## III. DESENVOLVIMENTO ECONÔMICO

O ideal da Ciência é a melhora das condições de existência da vida humana. Para a Economia essa melhora da vida da Humanidade se traduz em melhorias de suas condições materiais (XENOFONTE, 2009; ARISTÓTELES, 2011) e concretiza-se na satisfação de suas necessidades através do consumo de produtos (SMITH, 1985). Para Marshall (1996) a Economia é o estudo da riqueza do Homem mas, mais importante, é uma parte do estudo do Homem pois é um estudo da Humanidade nas atividades correntes da vida, que examina a ação individual e social em seus aspectos mais estreitamente ligados à obtenção e ao uso dos elementos materiais do bem-estar. A partir disso temos a noção de que Desenvolvimento Econômico seja, em última instância, a satisfação das necessidades econômicas da sociedade através do consumo de bens e serviços.

### a) O Indivíduo e a Sociedade

A Ciência Econômica, prosseguindo a linhagem dos Filósofos Morais, sustenta que o Homem age sempre na defesa de seu auto interesse, ou seja, alcançar uma melhor situação (MISES, 2010). Para isso, toma decisões considerando custos e benefícios. Trata-se de um cálculo econômico (SOUZA, 2023). Esse é o motor da ação humana e todos os homens guiam-se por ele. Portanto, é com relação a ele que todas as coisas são valoradas, sejam objetos concretos, sejam sentimentos, emoções e pensamentos. Conforme Hume (2009) é um atributo da natureza do Homem sua inclinação a preferir o que está perto no espaço e/ou no tempo e preterir o que está distante. Isso significa que o ser humano é portador de uma dada cegueira que o faz enxergar mais nitidamente o que está perto e, portanto, inferir seu valor com mais acurácia e preterir o que está mais distante por não se sentir tão sensível nem ao objeto em si e nem às suas variações de valor. O desconto hiperbólico (GIANNETTI, 2012, 104) é um componente de erro incorporado no cálculo econômico. Hume (2009) também adverte da relação entre emoção e razão onde a primeira registra o impacto que o Homem sente diante das coisas e a segunda, ordena seu curso de ação diante das circunstâncias. Essa característica da percepção humana em sua faceta mais prejudicial é a causa alegada da necessidade da Ciência e sua desejada objetividade. A Ciência em sua busca por descrever e explicar a realidade (GRANGER, 1994, 46) é contraintuitiva justamente para corrigir a visão do Homem.

Assim, a Economia lida com os elementos materiais da vida humana tanto do indivíduo quanto da sociedade. Hodernamente a definição de Ciência Econômica tornou-se mais técnica e, portanto, mais árida aos não economistas (SOUZA; DAL RI, 2012). A atenção no aspecto técnico tornou os demais, distantes e, em consequência, reduziu-lhes a importância. Embora essa distância tenha se alongado até ao ponto em que o aspecto contido no estudo do Homem tenha se perdido de vista, todavia, ele permanece como base e pedra angular do raciocínio econômico. Trata-se essencialmente do bem-estar humano, ou em termos mais contemporâneos, qualidade de vida. A Ciência constata que a base da vida é o organismo material e, especialmente para o organismo humano, seu bem-estar subjetivo estudado por psicólogos e economistas comprehende três partes distinguíveis e não separáveis quais sejam a satisfação (usada para captar o modo como as pessoas julgam suas vidas e medida em relação às suas aspirações); os sentimentos positivos como alegria e a ausência de sentimentos negativos como a raiva. A satisfação, o primeiro item, é justamente a satisfação de necessidades materiais econômicas. “[A] retórica arrebatadora sobre o vazio da

riqueza material não se sustenta” (PORTER, 2011, 63-5).

Necessidade é comumente interpretada como carência. Embora não seja equivocada, essa concepção esconde a parte essencial do conceito. Essa falta precisa ser preenchida por alguma coisa. Quando se utiliza o termo necessidade deve-se ter em mente que significa uma percepção de estado de bem estar superior àquele experimentado atualmente pelo agente. A interface obrigatória da carência é aquilo que a preenche. O ser humano possui necessidades individuais e sociais. Do rol de necessidades do ser humano a Economia aborda somente o grupo de necessidades materiais econômicas, aquelas que podem ser satisfeitas por produtos. Isso significa que tanto as necessidades não materiais (espirituais) quanto as necessidades materiais não-econômicas (que prescindem de produtos) estão excluídas e não fazem parte o objeto de estudo da Economia enquanto ciência. As necessidades econômicas são infinitas pois não somente são incontáveis (ilimitadas) como também jamais são de modo definitivo plenamente saciadas. Ao lutar para satisfazer necessidades com o uso de recursos que apresentam distintos usos alternativos o homem deve escolher quais bens e serviços serão produzidos. Essa escolha nada mais é do que decidir quais necessidades serão satisfeitas. É exigida uma decisão sobre a alocação dos recursos e, consequentemente, sobre a produção. Fazer escolhas, eis o cerne da questão econômica e sua relação com o bem-estar. As escolhas são feitas sob a égide não somente das restrições circunstanciais impostas, mas de sua condição natural, a escassez. A Economia fornece subsídios para melhor administração de uma das principais bases da vida humana: sua existência material e respectivo grau de bem-estar.

Dado que as necessidades econômicas são infinitas não há como, a partir de recursos finitos e escassos, ou seja, por definição em quantidade menor que a suficiente, satisfazer todas as necessidades da sociedade. Esse é o Problema Econômico Fundamental. Na produção de quais bens e serviços se deve alocar os fatores de produção? em outras palavras, quais necessidades devem ser satisfeitas? Todas os indivíduos e as sociedades enfrentam esse problema: como alocar os recursos da melhor maneira para a satisfação da sociedade (e Humanidade). Teoricamente consegue-se antever duas soluções possíveis. Por um lado, pode-se alocar os recursos disponíveis na fabricação de bens e serviços para satisfazer um rol de necessidades de todas as pessoas. Mas como os recursos são finitos e escassos, terminados esses, as demais necessidades ficam sem satisfação. Ou seja, alguns tipos de necessidades não terão produtos para serem saciadas. Uma outra solução é, ao invés de escolher as necessidades a



serem satisfeitas, selecionar-se as pessoas que terão suas necessidades satisfeitas, sejam elas essas quais forem. É preciso, então, compatibilizar a busca pelo auto interesse com o interesse social. Esse é o dilema fundamental social.

O homem produz o seu contexto e ao mesmo tempo configura-se como um produto de seu meio. O homem é um ser social, sua natureza o impele a viver em companhia de seus semelhantes e constituir comunidades. Nestas circunstâncias, a existência de uma ordem social somente torna-se possível, se houver estabilidade das relações. Neste sentido, surge uma nova questão: ações individuais que visem ao próprio bem-estar podem ou não se coadunar com o bem-estar dos outros e, por extensão, do grupo. Há que se criar, portanto, nas sociedades, instrumentos tanto para se manter a continuidade de relações específicas quanto a própria especificação de certas relações. Quando um mínimo de organização é alcançado em uma comunidade se estabelece a especialização mediante a divisão do trabalho. A divisão na execução do trabalho produtivo é uma escolha política e, portanto, a resultante de um complexo sistema de forças. Da mesma forma, está ligada também à distribuição e apropriação dos frutos do trabalho. O homem é um ser político.

Para além de viver em sociedade e promover a divisão do trabalho ou especialização, o ser humano apresenta a propensão à prática da troca. Para a Economia, o intercâmbio é o ponto central da vida econômica devido à sua importância fundamental na elevação do bem-estar ao otimizar a satisfação das necessidades por meio da contribuição para uma maior disponibilidade de produtos. Todos os envolvidos ganham com uma troca voluntária, pois o intercâmbio eleva diretamente o bem-estar de ambas as partes envolvidas pelo Efeito Abastecedor (SOUZA, 1997). As trocas ou transações definem as diversas estruturas de mercados em uma Economia de mercado, ou seja, o momento em que as ações individuais se imbricam na teia de relações coletivas. Um problema econômico não ocorre sozinho, no vácuo e sem influência quanto às demais esferas da vida (FURTADO, 1973). O econômico, mesmo quando reduzido ao conceito de mercado não ocorre no vazio. É tanto na interação quanto da própria interação de diferentes esferas que emerge o resultado e a qualidade do sistema. Esse é o escopo do arcabouço institucional, as regras do jogo (NORTH, 2001).

O esforço do Homem em enriquecer seu universo conduz ao desenvolvimento, processo em que a acumulação produz a criação de valores. No desenvolvimento o Homem realiza dois processos de criatividade: instrumentos para a ampliação da capacidade de ação (técnica) e significação de sua atividade através de valores com que o Homem enriquece seu patrimônio existencial (FURTADO, 1998).

A técnica pode gerar valor no sentido de construir riqueza (afluência) mas, por si só, é incapaz de formar diretamente os valores que estruturam a sociedade. É nesse ponto que se começa a traçar ainda sem muita nitidez a distinção entre o econômico (formação de riqueza) e o social (elevação de bem-estar pelo enriquecimento de seu patrimônio existencial). As trocas ou transações definem as diversas estruturas de mercados em uma economia, ou seja, o momento em que as ações individuais se imbricam na teia de relações coletivas. Keynes (CARVALHO, 1999, 266), no entanto, argumentou que ações no sentido de maximização do bem-estar racionais em âmbito individual podem conduzir a resultados sociais indesejáveis. É sobretudo a partir desta pressuposição da existência de ações econômicas e seus resultados sociais indesejáveis que se constrói a avaliação crítica keynesiana da relação entre dinâmica econômica e bem-estar da sociedade (SAMUELSON, 1993; KEYNES, 1985). A mente é conduzida a conceber que, depois de um limite, os conceitos se referem a processos que não somente podem ser distinguidos, mas acima de tudo, separados.

No entanto, trata-se de uma falsificação da realidade. Há, na ação colaborativa, a sanção da sociedade e a interface entre o auto interesse individual e o bem-estar coletivo. Portanto, se há somente um motivo que determina todas as ações de todos os homens, a saber, eliminar, direta ou indiretamente, na medida do possível, qualquer desconforto que se sinta (MISES, 2017, 96) este motivo é uma paixão (HUME, 2009). Movido por suas emoções o Homem empreende seus cálculos. E seu cálculo é otimizador pois almeja eliminar sua necessidade da melhor maneira possível. A razão o guia, todavia, obedecendo suas paixões. O cálculo é afetado em especial pelas paixões violentas que induzem ao desconto hiperbólico. Segundo Mises (2017) embora cada indivíduo tenha metas diferentes todas as ações humanas possuem invariavelmente um único motivo que é instalar um estado de coisas que sirva melhor ao agente do que aquele que prevaleceria na ausência da ação. O comportamento econômico é do indivíduo, mas ele o leva para sua vida social. Em sociedade, eleitas as necessidades a serem satisfeitas, podem-se eleger os bens e serviços a serem produzidos e a forma como serão obtidos. Isso não necessariamente vai se coadunar com a busca individual pelo melhor para si por parte de cada indivíduo. Assim como o melhor para o indivíduo – segundo seu próprio juízo – não seja o melhor para a sociedade segundo o ponto de vista do coletivo, assim também o que a sociedade idealize como o melhor para o indivíduo pode não se coadunar com seu auto interesse.

Smith (1985) admitia o interesse social como resultado da ação individual. No entanto nem sempre ações individuais racionais maximizadoras de bem-

estar conduzem ao bem comum (Keynes, 1985). Para Tocqueville (1987) a busca pela satisfação do auto interesse reforça-se na busca pelo interesse comum. O auto interesse que preexiste potencialmente pode ser atualizado pelo interesse da sociedade. No interesse bem compreendido o bem estar coletivo é pré-condição para o bem-estar individual. A ação do indivíduo em defender os interesses coletivos é a ação que otimiza a defesa de seu auto interesse. A sociedade precisa sancionar a busca individual pelo interesse e faz isso balizada pelo que é melhor para o coletivo de modo a formar um contraste entre o que o indivíduo quer fazer e o que a ele está permitido fazer. Da busca pelo melhor para o indivíduo e da busca do melhor para a sociedade constrói-se o bem estar da sociedade preservando-se o auto interesse individual.

Na história, o expediente natural para a seleção de necessidades a serem satisfeitas, ou seja, os produtos a serem ofertados ou ainda, o destino final da alocação dos recursos produtivos foi a resolução pelo mecanismo de mercado. Os demandantes apresentam a necessidade e se dispõem a pagar para ter satisfação. Então, os ofertantes produzem o bem desejado e vendem. Mas eles mesmos gastam dinheiro para a obtenção dos recursos e durante o processo de produção e transporte, proteção etc. Assim, através do mercado, escolhe-se as necessidades que serão satisfeitas das pessoas que tiverem dinheiro para adquirir os bens e serviços produzidos. E, às pessoas é possível mostrar a oferta de habilidades e força para cumprir o papel de recursos necessários ao processo de produção. O mercado substituiu a ação discricionária de reis e outros prepotentes do passado que se faziam proprietários de recursos e pessoas e assim, escolhiam as pessoas a terem suas necessidades satisfeitas (Clero, Exército e Nobreza) enquanto o povo possuía necessidades não satisfeitas.

O mercado é tanto um instrumento individual quanto social para a promoção do bem-estar. No mercado competitivo há eficiência econômica, ou seja, eficiência distributiva, eficiência produtiva e eficiência do mix de produtos. O Primeiro Teorema da Economia do Bem-Estar diz que em um mercado competitivo, qualquer equilíbrio competitivo é Pareto eficiente. Em outras palavras: a Eficiência Econômica ocorre quando a economia está produzindo a combinação de bens que maximiza a utilidade total da sociedade, dados os recursos e a tecnologia disponíveis. Isso implica que os recursos são alocados de forma que não é possível aumentar a produção de um bem sem reduzir a produção de outro de maneira que reduza o bem-estar total. A eficiência do mix de produtos garante que os recursos são alocados de forma que os bens produzidos refletem as preferências dos consumidores. Qualquer desvio desta alocação significa que há um potencial para realocar recursos de forma a aumentar o bem-estar geral. Mas, o mercado, ao mesmo tempo,

otimiza o bem-estar (função utilidade) dos agentes econômicos, o demandante e o ofertante (SOUZA, 2024).

Dado um mercado competitivo, a curva de demanda individual representa o comportamento racional de um consumidor individual, ou seja, a maximização de sua satisfação, enquanto a curva de demanda do mercado representa o comportamento dos preços dos produtos em relação às quantidades demandadas pelos consumidores do produto no mercado. Nesta está contida a eficiência distributiva. A curva de oferta de uma firma individual é derivada do princípio de maximização de lucros, a racionalidade do agente produtor. A curva da oferta de mercado mostra o comportamento das quantidades ofertadas em relação aos preços. Nesta, está contida a eficiência distributiva. No equilíbrio econômico estão sintetizadas ambas as eficiências das forças de mercado na eficiência do mix de produtos. Por isso o mecanismo de mercado competitivo é Eficiente (Pareto Ótimo). O modelo concorrencial permite uma alocação eficiente, situação em que ninguém consegue aumentar seu bem-estar sem que seja reduzido o bem-estar de outra pessoa Tal condição é denominada Pareto-eficiente. A Teoria do equilíbrio Geral pressupõe válidos os dois teoremas da Economia do Bem-estar.

Do ponto de vista intervencionista, no entanto, há uma questão a ser encarada: a justiça social. E isso é, segundo essa perspectiva, corroborado pelo Segundo Teorema da Economia do Bem-Estar: Dado um ponto de partida apropriado com redistribuições de recursos (renda ou riqueza) qualquer alocação eficiente de recursos pode ser alcançada através de um equilíbrio competitivo. Este teorema afirma que, sob certas condições, qualquer alocação eficiente de recursos pode ser alcançada através de um equilíbrio competitivo. Intervencionistas advogam que esse Teorema indica que a questão da eficiência econômica é independente da questão da justiça e igualdade sociais e daí derivam uma pretensa necessidade de uma justa distribuição de riqueza e, pelo mecanismo de mercado, alcançar eficiência econômica com justiça social. Do ponto de vista do pensamento econômico intervencionista (*Welfare State* ou Estado do Bem-Estar Social) a justiça social envolve critérios como a igualdade e a equidade social.

Nesse sentido, a Eficiência Econômica, como um mecanismo automático originado no funcionamento do mecanismo de mercado é neutro pois parte de uma dotação inicial de propriedade de insumos e dá origem a uma distribuição de bens e serviços formando o nível de bem-estar da sociedade. Nesse sentido é necessário um instrumento além mercado – no caso, o Estado – para promover a igualdade e a justiça social. Isso porque nesse pensamento a noção de justiça social vai além da eficiência econômica. Sociedades podem valorizar a coesão social, a redução da pobreza

extrema e a igualdade de oportunidades (ideia de que todos os indivíduos em uma sociedade devem ter as mesmas oportunidades de acesso a recursos, como educação, saúde, emprego e justiça) mesmo que isso signifique sacrificar um pouco de eficiência econômica.

No entanto, no pensamento liberal, a distribuição inicial de dotação de propriedade de recursos de um sistema econômico contempla a exigência de justiça social pois é resultado da ação independente e autônoma do agente na busca de seu auto interesse. Dito de outra forma: o indivíduo, com seus recursos, busca otimizar o próprio bem-estar (meritocracia ou sistema meritório). Os indivíduos são recompensados com base no seu mérito, habilidades, desempenho e realizações, em vez de outros fatores como riqueza, status social, ou conexões pessoais. Por essa razão, em uma economia meritocrática, o sucesso e a progressão de uma pessoa são determinados pelo seu esforço, talento e contribuição para a sociedade ou para a organização em que trabalha. Dessa forma, indivíduos que demonstram maior habilidade, competência e produtividade são recompensados com salários mais altos, promoções e outras formas de reconhecimento. Em um sistema meritocrático, a posição socioeconômica dos indivíduos pode mudar com base em seu desempenho e realizações. Pessoas de origens modestas têm a oportunidade de ascender socialmente com base no seu mérito. Assim, a meritocracia promove um senso de justiça, já que as recompensas são vistas como merecidas e baseadas em contribuições reais.

Desse ponto de vista a justiça não necessariamente implica igualdade de oportunidades, mas sim que os indivíduos enfrentam desafios com base em seus próprios recursos e talentos. A justiça econômica frequentemente é entendida como justiça distributiva, onde a distribuição dos recursos e recompensas é vista como justa se resulta da livre interação de indivíduos no mercado. Cada indivíduo deve enfrentar desafios e colher os frutos de seus talentos e esforços. A ideia é que o mercado recompensará aqueles que são mais produtivos e inovadores, independentemente das suas origens ou condições iniciais. Portanto, em uma perspectiva puramente meritocrática, as recompensas econômicas são vistas como justas quando baseadas no mérito individual, que inclui talento, esforço e desempenho e a Justiça, nesse contexto, é alcançada quando há um sistema que permite que o mérito seja reconhecido e recompensado de forma proporcional. Esse sistema é a Economia Competitiva de Mercado. A justiça se concretiza com o funcionamento e a eficiência do mercado. Tais escolas assumem que os indivíduos agem racionalmente e tomam decisões com base em suas preferências e restrições. A justiça é vista através do prisma da eficiência do mercado, onde a distribuição de recursos e recompensas é considerada

justa se resultar de transações voluntárias e competitivas.

Na perspectiva da Economia Liberal, uma vez que as pessoas são distintas entre si em qualidades e capacidades e cada uma nasce com uma dotação específica e peculiar de propriedade de recursos, é justo que obtenham distintas apropriações de bens e serviços de acordo com seus próprios méritos. Ou seja, é justo, que a partir de dotações distintas de recursos, de acordo com o mérito pessoal se alcance distintas porções de bem-estar. Nesse sentido, o mecanismo neutro de mercado é, também, justo. Além do mais, o mercado competitivo promove a maior elevação possível de bem estar para a sociedade preservando a busca do auto interesse. Mais do que isso, é otimizando o próprio auto interesse que o indivíduo participa da formação do bem-estar social.

### b) A Moral e a Ética

O que o agente em si pode fazer para buscar seu auto interesse – no sentido de capacidade, de conseguir de fazer – vai depender de sua individualidade, de recursos que pode movimentar (força física, recursos psíquicos, forças e materiais, enfim). E o que ele pode fazer – no sentido de ter permissão para fazer enquanto indivíduo - depende dele próprio (de sua moralidade, a noção interna do que é certo e errado, ou seja, seus limites internos no sentido de obediência aos seus ditames pessoais: estar disposto a fazer determinadas coisas e; estar disposto a não fazer determinadas coisas; não estar disposto a fazer determinadas coisas e não estar disposto a não fazer determinadas coisas). Mas depende também dos constrangimentos impostos (e estímulos propostos) pelo contexto social (limites externos). Esses constrangimentos (e impedimentos) bem como estímulos emanados do contexto social (mas criados pelos indivíduos) são as instituições. Em sua origem uma instituição é a ética quando a moral é levada do plano individual, interno ao sujeito para a coletividade. O limite interno dos indivíduos é mediado pela necessidade de convivência e suas exigências (sobrevivência, melhoria de bem estar...) e formatado em um código de coexistência (SOUZA, 2021).

Estipulado o que é melhor para a sociedade (Problema Econômico Fundamental) e sua resolução (o dilema fundamental da sociedade), o indivíduo buscará o melhor para si dentro das oportunidades que a cidade oferece. Se ele não puder compatibilizar o que acha melhor para si dentro do que seja permitido fazer e possível de fazer pela sua capacidade – e na presença de recursos e meios – ele sairá da sociedade (ele próprio desterritorializar-se-á do *locus* de tal produção) sob pena de, não o fazendo, tornar-se marginal ao sistema. Isso pode acontecer por incompatibilidade sobre o que julga melhor para si e o que a sociedade estipulou como melhor para o coletivo,

sobre o que lhe seja permitido fazer (legalidade) e, mais comumente, sobre a capacidade do indivíduo: a pessoa não está apta, capacitada ou qualificada para atuar na sociedade da maneira como essa está estruturada.

Assim, os limites internos e externos determinam o que indivíduo faz. Daí o imperativo social de todos serem iguais perante a lei. Para o coletivo, a busca do melhor também vai se fazer no sentido de bem-estar material econômico da sociedade, mas passando pelo bem-estar individual na medida do que é permitido fazer. Esse melhor para a sociedade não necessariamente é o idealmente melhor (o melhor absoluto). Do ponto de vista funcional basta ser a convenção. Então a convenção de um resultado a ser buscado, o juízo de valor de que tal objetivo maximiza o bem estar e o arcabouço institucional tecem a trama na qual o indivíduo está imbricado com o contexto social. E o conjunto das ações nestes dois campos (o indivíduo na sua busca pelo melhor e a sociedade na sua busca pelo melhor) forma a transição em equilíbrio dinâmico entre esses dois conjuntos. Assim, o indivíduo vai mesmo buscar o que é melhor para si dentro do constrangimento do que a sociedade vai exigir (que ele faça determinadas coisas e não faça outras).

Essa abordagem da transição do indivíduo para o coletivo onde não exige que se trate de uma série de indivíduos médios – o coletivo não é um conjunto de seres médios - mas antes, pelo contrário, admite a reunião/ligação de indivíduos distintos entre si e em seus anseios, mas que pertencem a uma mesma classe ou grupo que os identifica como coletivo. Trata-se de um coletivo de individualidades distintas, mas com algo em comum que as torna em uma sociedade e o que querem/podem fazer pelas suas determinações internas (fraquezas e potencialidades) e os constrangimentos e estímulos colocados pela estrutura social em sua institucionalização (ameaças e oportunidades): suas rationalidades econômicas dentro de um mecanismo de mercado. Essa interação que se estabelece preserva as peculiaridades individuais, ou seja, não se dá pela média e não pressupõe indivíduos médios. É esse equilíbrio dinâmico que o Direito quer manter estável através da previsibilidade das ações individuais e da estabilidade das relações sociais. Pois se os indivíduos são diferentes, até com mais razão devem estar todos sob a mesma regra, a mesma institucionalização.

No entanto, sendo assim, o indivíduo vai procurar aproveitar-se da ordem assim estabelecida, ou seja, vai procurar burlar essa questão de buscar o melhor para si dentro do constrangimento do que lhe é permitido buscar. Isso porque uma tal conduta divergente constrói uma vantagem na busca individual do melhor para si. Isto é materializado em economia desde a existência de *free riders* (caronistas) até a existência de grupos de interesses corporativos, ou

seja, coletivos (diplomatas, juristas, políticos...) que buscam legitimar-se como grupo social e consolidar direitos diferenciados, ou seja, obter uma vantagem para si dentro da institucionalização da sociedade. Em sua pior face, trata-se de classes (ou grupos dentro das classes) que procuram uma estratégia de usurpação. Não só usurpação do bem-público e/ou usurpação da possibilidade de construção do bem público, mas sobretudo, usurpação da esfera de direitos (acumulação de privilégios transformados em direitos), em especial, com relação à fuga da responsabilidade do dever (não poder ser inquirido; não precisar prestar contas; não poder ser julgado; não ser culpável; não poder ser condenado; se condenado, não cumprir a pena...). Enfim, estratégias oportunistas de amealhar direitos e escapar dos deveres.

Como corolário, emerge a conclusão de negativa da afirmação de que a Economia não possa, enquanto ciência, incorporar a ética e a moral. E em seu lugar, apresenta-se o fato que a Economia não só adota que a moral (noção individual de certo e errado) seja a defesa do auto interesse e que a ética seja o transbordamento dessa moral para a sociedade (código de coexistência), mas também que essa ética seja concretizada pelo mecanismo de mercado.

### c) Desenvolvimento Econômico

As pessoas produzem bens e serviços a partir dos fatores de produção e elas usam estes produtos para a satisfação de suas necessidades. O produto é tanto o resultado dos esforços do ser humano em melhorar sua condição de existência quanto, ao mesmo tempo, exatamente o fator que o levará a esse patamar superior de bem estar. Pode-se refletir sobre o exposto segundo a proposição da dialética de que a qualidade do sistema em seu processo (síntese) depende de suas quantidades relativas (tese; antítese) sendo estas, no nosso caso, esferas autopoieticas (ROMESÍN; GARCÍA, 1995; ROMESÍN, GARCIA, 1997). Assim, se não é possível separar os elementos é necessário – não apesar disso, mas exatamente por isso mesmo – um esforço em distinguir os elementos para descrever e explicar a existência do todo.

Há aspectos imediatos de quais e quantos bens e serviços produzir bem como de que forma e quando produzir (composição e estrutura do Produto Agregado ou Problema Econômico Fundamental). Paralelamente há a percepção social, no entrelaçamento dos relacionamentos das pessoas, do resultado qualitativo positivo ou não advindo do processo na esfera econômica, ou seja, para quem produzir (dilema social fundamental). Trata-se do alegado desenvolvimento social, o impacto dos resultados do processo econômico na esfera autopoietica social (política, cultural etc). É como se a “economia” fosse a base, a infraestrutura necessária do “social”. Pois afinal a interface da questão de quais

bens e serviços produzir é simplesmente decidir quais necessidades satisfazer (SOUZA, 2021).

Produtos “para quem” e necessidades “de quem” incorporam pessoas de carne e osso à discussão tanto como agentes econômicos quanto como cidadãos. A separação, ao invés da distinção, entre as esferas e processos é que causa a confusão entre desenvolvimento, crescimento, econômico, social etc. Assim, a partir da proposição de esferas autopoieticas distinguíveis, mas inseparáveis fica claro que os aspectos quantitativos do processo sejam passíveis de ser mensurados e sintetizados para fins de interpretação por indicadores quantitativos objetivos. E como a qualidade do sistema depende das quantidades relativas, os indicadores objetivos quantitativos podem ser usados para apoiar/subsidiar avaliações qualitativas. Por isso o Índice de Desenvolvimento Humano (IPEA-PNUD, 1996), geralmente tido como um indicador qualitativo e vinculado ao desenvolvimento social é, em realidade, um indicador objetivo quantitativo. Isso porque a partir de quantidades relativas e respectivos pesos e médias se pode aferir (e inferir sobre) a qualidade do sistema observado. Após exigir o crescimento econômico, o IDH utiliza-se de indicadores quantitativos objetivos e mede o impacto da base econômica (e investimentos) na qualidade das condições de vida ligados por uma cadeia causal, mas ainda assim, distintos.

O desenvolvimento é, assim, um conceito único e monlítico. Desenvolvimento é econômico e, em si, engloba todos os demais aspectos da vida pois o termo econômico refere-se exatamente às condições de existência e melhora das condições de vida dos indivíduos e da sociedade. O juízo de valor expresso na ideia de justiça social – equidade econômica –desloca a atenção da produção de bens e serviços para a efetiva satisfação das necessidades das pessoas na sociedade. A própria linguagem quando nos termos correntes na discussão conduz a uma separação entre o econômico e o social. No entanto, trata-se apenas de uma distinção de dimensões (como objeto de análise) e ênfases (como perspectivas na abordagem do objeto). Quando se enfatiza o impacto da satisfação ou não de necessidades pelos produtos, fala-se de melhor ou pior condição de vida; de elevação ou redução da situação da qualidade da existência humana; da melhora ou piora da saúde, da educação, da cultura etc e associam-se tais elementos a uma vida digna ou não do habitante e, por extensão, às condições de sua cidadania (CANO, 2012). O termo cidadania traz em si um apelo eminentemente qualitativo no imaginário tanto individual quanto social (CASTRO, 2014). Assim, infraestrutura econômica também é social e urbana e que o que se entende por infraestrutura social e urbana também pode ser considerado infraestrutura econômica (IPEA, 2010).

Da mesma forma, quando se enfatiza o impacto ou não na produção de bens e serviços e, por extensão, no emprego/desemprego dos recursos de produção os termos denotam uma ideia de quantificação mais objetiva, de exatidão não propriamente na mensuração, mas de possibilidade de tal medição efetivamente existir. Fala-se em taxas de emprego como percentual da População Economicamente Ativa; em elevação do consumo de produtos em termos de produção bruta ou percentuais; refere-se à construção física de fábricas. Mesmo quando se fala de pessoas – que vivem sua vida “social” – ainda que a referência seja o número de empregados como uma taxa de elevação de emprego, por exemplo, fica em segundo plano a ideia subjacente de que mais emprego, mais produção embora sejam aspectos quantitativos causem mudança na qualidade da vida econômica. Mas no fundo, é exatamente disso que se trata: mais trabalhadores podem consumir bens e serviços; mais empresários podem auferir lucros. Melhorar a vida das pessoas e promover o desenvolvimento em sua verdadeira acepção. Dito em outras palavras: a apropriação dos produtos exige como anterioridade lógica a própria produção destes bens e serviços. A apropriação da riqueza não é uma etapa independente de sua produção no sentido causal devido às interações sociais. No mercado, a produção existe porque as pessoas determinam quais produtos devem ser feitos. As relações sociais são regidas pela lógica econômica, os setores monetário e financeiros interligam a produção, a distribuição e a apropriação da riqueza.

No intervencionismo o Estado pode decidir pela oferta de um bem ou serviço por uma lógica distinta daquela vigente no mercado, ou seja, sem considerar as forças de demanda e oferta, mas tão somente seu poder discricionário. Evidente está que o Estado, enquanto *locus* de poder, vai determinar suas ações pautando-se por seus interesses, coincidindo ou não com os interesses da sociedade. No entanto, pretendemos, em uma democracia representativa, os interesses sociais serão considerados e influenciarão as ações do governo uma vez que esse busca seu próprio auto interesse, a perpetuação no poder através das urnas.

Assim, quer através do mercado, quer através da ação do setor público, a produção e oferta de bens e serviços (em economia de mercado e sob democracia) admite agregação de e transições entre as dimensões de equidade (justiça social) e sustentabilidade (dimensão econômica) bem como comprehende que a qualidade do sistema econômico depende das quantidades produzidas, de como são produzidas, para quem são produzidas etc conjugando o meio ambiente, o setor cultural e o social com o elemento econômico. Isso explicita o fato de uma atividade econômica influenciar todo o contexto da vida

social (MILL, 1974). É assim, neste *imbróglio* que se apresenta a realidade, tanto para os políticos e suas decisões públicas quanto para os empresários e suas escolhas de produção e também para a sociedade civil (e nesta, os trabalhadores) e suas aspirações de bem estar pessoal, individual e social.

#### IV. ILUSTRAÇÃO – PARQUE POPULAR DA PEDREIRA – IJUÍ/RS

O noroeste do Rio Grande do Sul, região a qual pertence o município de Ijuí, onde está localizado o Parque Popular da Pedreira caracteriza-se como pertencente ao conjunto das regiões periféricas, marginais e dependentes.

Periféricas apesar de apresentarem concentrações populacionais e econômicas. A lógica circular de aglomeração, nestes casos, encontra-se em situação tal que não permite a acumulação e expansão autônomas do sistema. E, marginais, inobstante a existência de recursos de produção e/ou produto de expressão extra-regional, inclusive internacional. Essas duas condições – periferia e marginalidade – determinam um caráter geral de dependência ou interdependência assimétrica a estas regiões. (...) É pouco provável que o desenvolvimento seja um “caminho perdido” para tais regiões. É mais provável que seja um caminho a ser construído, desde que algumas condições sejam reunidas (SOUZA, 2006, 151-2).

Sob a égide do paradigma interventionista, a resolução do Problema Econômico Fundamental é altamente influenciada pela lógica do Setor Público. Neste sentido, iniciativas de desenvolvimento, segundo a CEPAL (1990) são ações portadoras de potencial para romper uma ou mais características dos subsistemas periféricos. A imbricação das esferas política, jurídica, ambiental, econômica e social devem convergir na gestão cidadã de um território específico. Por fim, tudo retorna onde começou: o fator humano, entendido em uma ponta como o perpetrador do ato e na outra, como vítima do processo e, no meio, como fator de solução (DUTRA, 2004). Segundo Brum (2003) o desenvolvimento regional requer três eixos: criação e fortalecimento de empresas locais, P&D por empresas e universidades e instituições da sociedade civil e de organizações públicas para administração de cidades e regiões. Essa abordagem territorial do desenvolvimento está concorde com a constatação de SANTOS (1994) de que região significa reger, mas, hoje, há cada vez mais regiões que são apenas regiões do fazer e, cada vez menos, regiões do reger. Aquelas que são regiões do fazer são cada vez mais regiões do fazer para os outros.

Para um processo de desenvolvimento regional são necessários alguns de seus atributos, entre esses, a capacidade de autonomia regional quanto à diversidade de sua base econômica e sustentabilidade de longo prazo de seu crescimento; crescente movimento de inclusão social, com repartição da renda

regional; conscientização em torno da proteção ambiental e do manejo dos recursos naturais; identificação da população com sua região e criação de uma imagem futura da sociedade e seu ambiente. Enfim, a preocupação com o que se poderia denominar de autonomia do sistema econômico (município/região); desenvolvimento social, econômico, humano e sustentabilidades diversas. Segundo DUTRA (2004) necessariamente, temos que, ao mesmo tempo, estudar o processo de regionalização dos espaços sociais, os desafios socioambientais, a dimensão social e ambiental, e a sustentabilidade do movimento contemporâneo. O autor, assim, corrobora a tese de esferas autopoieticas, em que todas essas dimensões estão imbricadas e formando esferas que, embora com suas próprias dinâmicas, ainda estão ligadas umas com as outras formando uma totalidade. Como ficou implícito, uma iniciativa de desenvolvimento no sentido cepalino deveria enfrentar esses desafios de maneira única, embora com estratégias específicas (SUNKEL; Paz, 1988; RODRÍGUEZ, 1981).

No entanto, no campo retórico, o econômico é encoberto pela importância dos outros aspectos. Quando se enfatiza as dimensões social, da cidadania ou a questão ambiental os montantes investidos são mencionados somente como uma mensuração da própria apropriação dos resultados. Todavia, o aspecto da valorização imobiliária de toda a área, antes marginal e desvalorizada, aparece quase que como um subproduto de uma ação que atinge 70.000 pessoas de uma população de pouco mais de 84.000 habitantes (PERSICH, 2016). Pela seleção da ênfase na análise, ressalta-se o aspecto “não econômico” do empreendimento mesmo com investimento direto de cerca de R\$15.000.000,00 e enorme potencial de dinamização econômica. O impacto do Parque nas condições de bem-estar da sociedade é o carro chefe das análises. “(...) a preocupação maior é preservar a área, dar melhores condições de moradia a pessoas carentes e criar um local que sirva também como ponto turístico e de lazer para toda a comunidade” (PERSICH, 2016, 96). A iniciativa política (Poder Público e Sociedade Civil) e o impacto no exercício da cidadania da população transparece como o coroamento de uma ação social. “O grande apoio com que conta este projeto reforça seu caráter cidadão e suprapartidário, e vai muito além da atual administração ou apenas de interesses de um setor específico da sociedade” (PERSICH, 2016, 84).

Outra peculiaridade interessante é que mesmo quando a satisfação de necessidades consideradas básicas é reconhecidamente vinculada ao consumo de bens e serviços, ou seja, produtos econômicos, o aspecto econômico termina como que diluído diante da questão social. “A população, sem acesso às condições existenciais básicas assinala um conjunto de desigualdades sociais, econômicas e ambientais.”



Todavia, quando os aspectos social e ambiental são mencionados em suas condições insatisfatórias e de carências (sob o signo da desigualdade social) são lembrados como resultados ou consequências da base econômica. “(...) falta de saneamento básico, problemas com lixo e degradação ambiental. Uma pedreira desativada há anos; uma usina de asfalto ao lado do rio, onde a própria prefeitura estava degradando o meio ambiente” (PERSICH, 2016, 89).

Inescapável é, no entanto, que quando se alude às perspectivas de melhorias, a atenção se volte para as devidas ações econômicas, ou seja, alocação de recursos econômicos, produção de bens e serviços, custos e investimentos requeridos. A própria mensuração do sucesso do empreendimento se dá, além dos aspectos ditos qualitativos, sobretudo, também por aspectos ditos quantitativos conforme pode-se observar em todo o projeto do Parque. No discurso, enfatiza-se as áreas social, ambiental e outras, ou seja, a apropriação dos resultados. Em outras palavras, o impacto na sociedade. No entanto, quando se fala do processo em si, as variáveis envolvidas e enfatizadas são sempre as de cunho estritamente econômico. Coexistem, assim, no imaginário, um aspecto amorfó que se poderia caracterizar como socioeconômico e que, dependendo da ênfase, metamorfoseia-se em social ou, por outro lado, em econômico. Em cada caso, os demais aspectos perdem-se no horizonte. Como salta à vista, sem o aspecto econômico – a alocação de recursos na produção de bens e serviços – não existiriam os impactos nas áreas social (cidadania, inclusive lazer, mas também combate à criminalidade e marginalidade), ambiental e cultural, ou seja, embora o Projeto do Parque Popular da Pedreira em Ijuí/RS constitua-se pela “beleza e importância social” e na “recuperação ambiental das áreas de preservação permanentes”, a construção de um parque urbano é um produto econômico.

O reassentamento e urbanização de áreas de sub habitação; a construção de novas habitações, a implantação de infraestrutura, a qualificação urbana e os equipamentos comunitários; o saneamento do lago, a retirada de lixo e entulho são bens e serviços. E o orgulho da população quanto a possuir um Parque Urbano de referência no Rio Grande do Sul é também um efeito indireto da apropriação de um produto econômico. Trata-se da satisfação de necessidades econômicas, portanto, da elevação do nível de bem estar dos indivíduos e da sociedade. No caso do Parque Popular da Pedreira a decisão política foi tomada mediante consultas populares a diversos segmentos sociais, o que caracteriza o aspecto cidadão do projeto. Também se trata de uma iniciativa que visa uma elevação do bem estar da comunidade tanto em segmentos específicos quanto de todo o conjunto. Aborda questões de habitação, lazer, meio

ambiente (PERSICH, 2016). Tanto quanto se pode perceber pelo senso comum o Parque Popular da Pedreira em Ijuí pode ser considerado como uma iniciativa de desenvolvimento social. Espera-se uma melhora das condições de vida das pessoas, inclusive, no aspecto altamente intangível do “orgulho regional” ou auto estima da sociedade em possuir um Parque Urbano de referência no Estado.

Mas o Parque comporta também um elemento de crescimento econômico pois eleva a disponibilidade de produtos, ou seja, a oferta de bens e serviços e a potencial capacidade de satisfazer necessidades econômicas materiais posto que os eixos Habitação, Equipamentos Públicos, Urbanização e Meio Ambiente que compõem o Projeto não podem ser manejados sem os investimentos previstos. Há uma inextrincável imbricação do aspecto de crescimento econômico com o significativo impacto esperado no bem estar social.

Assim, transcendendo a todos estes aspectos assinalados, ao tornar endógena a produção de bens e serviços e direcioná-la para a satisfação das necessidades da própria comunidade e com isso aumentar sua autodeterminação, o Projeto Parque Popular da Pedreira em Ijuí/RS deve ser considerado como uma iniciativa de desenvolvimento econômico, pois contribui para um processo de superação da condição de periferia, dependência e marginalidade.

## V. CONSIDERAÇÕES FINAIS

A vida humana comporta diversas esferas cujas ações formam um sistema dinâmico. Mas esses sistemas admitem ligações entre si. Por exemplo: a esfera cultural da vida do cidadão em um município pode ser conceituada, definida e até mensurada. É possível, inclusive, comparar com a vida cultural de outra sociedade. As vidas social, cultural e política enquanto esferas autopoieticas admitem inter-relações e influências. Todas essas esferas têm necessariamente ligação com a vida econômica pois a vida é, em sua base biológica, econômica. Busca de decisões otimizadoras para elevação de bem estar. A vida é econômica e o sentido dessa afirmação é que tanto as ações (produção, distribuição e apropriação da riqueza na forma de produtos e rendas, ou seja, produção, comércio e finanças) quanto os impactos no nível de bem estar individual e social são essencialmente econômicos. Assim como as pessoas em seus relacionamentos ou interações sociais assumem funções econômicas há também aqueles que atuam no desenvolvimento econômico e estão mergulhados nos resultados sociais do processo. Apreendem, sentem, percebem o resultado na qualidade de vida. Estas pessoas são as mesmas e compõem, todas elas, a sociedade. Apropriadamente a terminologia da Economia alude a funções que os indivíduos exercem. São agentes econômicos, mas não deixam de ser indivíduos e tampouco perdem sua

condição de pessoas. Da mesma forma, pode-se dizer da ação econômica e dos resultados sociais sem que isso exclua a relação social e os resultados econômicos. O Homem caracteriza-se por possuir necessidades e para satisfazê-las deve consumir bens e serviços obtidos a partir da destinação de forças e materiais que, se alocados em um uso, deixam de estar disponíveis para todos os demais usos possíveis.

Decisões políticas tomadas por motivos de administração sobre alocação de recursos econômicos trazem resultados na esfera social. Na vida econômica, por mais que os homens estejam ocupados com a produção de bens e serviços, a noção mais imediatamente visível é a da elevação de bem-estar, melhor qualidade de vida que se alcança pela quantidade de bens e serviços que se consome e que se tem acesso através do uso da moeda (renda). Essa é a noção de econômico enquanto área afeita à produção, ao comércio e ao monetário-financeiro. É o caminho a ser trilhado na busca o desenvolvimento. Embora a produção e a apropriação da riqueza sejam processos independentes no sentido de dinâmicas não necessariamente determinantes entre si, no entanto, persiste uma relação de causalidade, uma imposição cronológica entre ambas. Existe distribuição e apropriação da riqueza porque houve o antecedente de produção desses bens e serviços. É uma impossibilidade técnica, em um mundo material onde as necessidades são eliminadas através do consumo de produtos, que se possa falar de elevação de bem estar material – o aludido bem estar social – sem a existência prévia da produção e distribuição destes bens e serviços. Como é através dos processos monetário e financeiro (também cultural, jurídico e outros) que a produção, a distribuição e a apropriação estão interligadas, toda a extensa e complexa troca de recursos e produtos entre os agentes econômicos emerge na esfera autopoietica social como desenvolvimento, ou seja, elevação de bem estar (SOUZA, 2021).

O Projeto do Parque Popular da Pedreira em Ijuí/RS constitui-se na construção de um parque urbano referência no RS pela beleza e importância social; reassentamento e urbanização de áreas de sub habitação; construção de novas habitações, implantação de infraestrutura, qualificação urbana e equipamentos comunitários; saneamento do lago, retirada de lixo e entulho e recuperação ambiental das áreas de preservação permanentes. Considerando-se o Parque Popular da Pedreira figurativamente como um iceberg, a parte visível é associada ao objeto do desenvolvimento social. Trata-se dos impactos no nível de bem estar da sociedade. Observa-se o topo do iceberg. Mas a sustentação da vida e sua qualidade estão sob a superfície agitada das águas. A agitação das águas depende das dimensões do próprio iceberg como um todo e de suas partes, o político, o social, o

ambiental, o cultural, mas, inevitavelmente encontram sua definição no âmbito econômico. São os bens e serviços produzidos que elevam o nível de bem estar das pessoas e melhoram suas condições de vida.

Dada a tendência humana de valorizar mais o que está perto e visível, o desenvolvimento jamais pode ser alijado área econômica sob pena de frustrar o ambicioso projeto da Ciência de impor ordem a uma realidade complicada. Não é salutar em se tratando de tentativas de se impor sentido à confusão do mundo separar a base econômica de formação de bens e serviços dos resultados sentidos pelas pessoas em termos de impactos no seu nível de bem estar. Trata-se de um único e mesmo processo. O desenvolvimento econômico.

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# Why hasn't Brazil become a Developed Country?

By Marcelo Weishaupt Proni

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**Abstract-** O Brasil foi apontado como uma potência emergente no início dos anos 2010, mas fracassou em alcançar um patamar mais elevado de desenvolvimento econômico e social. Muitos analistas concluíram que a economia brasileira estava presa na “armadilha da renda média” (ou “armadilha do lento crescimento”). Porém, para entender as circunstâncias que impediram o país de alcançar níveis elevados de renda per capita e de bem-estar social não basta examinar as causas estruturais da baixa produtividade do trabalho ou da elevada desigualdade de renda (tais como a desindustrialização prematura, a baixa escolaridade de grande parte da população e as práticas “rent-seeking”). Além da adesão à agenda neoliberal, também é preciso considerar a influência de grupos políticos conservadores na definição das políticas sociais executadas pelo Estado, a subordinação da política econômica a exigências do mercado financeiro e a conjunção de interesses (internos e externos) contrários a estratégias de desenvolvimento socialmente inclusivo e ambientalmente sustentável.

**Keywords:** desenvolvimento econômico, armadilha da renda média, estratégia de desenvolvimento.

**GJHSS-E Classification:** LCC: HC187



*Strictly as per the compliance and regulations of:*



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## Por Que o Brasil Não se Tornou um País Desenvolvido?

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### INTRODUÇÃO

A promessa de conduzir o Brasil a um patamar elevado de desenvolvimento econômico e social foi apresentada por diferentes governos, desde meados do século XX. Por exemplo, na década de 1970, durante o período da ditadura militar, foi apresentado o sonho de um país grandioso, de uma potência industrial emergente, capaz de transitar gradativamente para uma sociedade de consumo de massa – mas aquela estratégia fracassou (Lessa, 2023). Nos anos 1990, criou-se a expectativa de que a modernização econômica (induzida por um “choque de capitalismo”) e as reformas de caráter neoliberal seriam suficientes para fazer o Brasil ingressar no Primeiro Mundo. Novamente, a ilusão foi desfeita (Furtado, 2000). E no início da década de 2010, quando o neoliberalismo estava desacreditado e parecia possível reviver o Estado desenvolvimentista, formou-se uma atmosfera de otimismo a respeito dos rumos da economia brasileira e da superação do subdesenvolvimento. Mas, em seguida, houve uma grande frustração e um retrocesso econômico e social (Salama, 2019).

As políticas econômicas adotadas e as reformas institucionais implantadas no Brasil nas

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últimas décadas foram eficazes em alguns aspectos, mas não produziram um desenvolvimento soberano e inclusivo. O país foi apontado como potência emergente no início da década de 2010 em razão do bom desempenho de sua economia após a crise financeira internacional e do lugar de destaque que passou a ocupar na nova geopolítica internacional. Porém, pouco depois, a economia entrou em recessão e o Brasil perdeu o protagonismo recém-conquistado no cenário internacional. Ficou evidente o fracasso da tentativa governamental de reverter o processo de “desindustrialização prematura”<sup>1</sup> e de interromper os efeitos indesejados da “financeirização”.<sup>2</sup> Ademais, a economia brasileira havia se tornado dependente da exportação de commodities (UNCTAD, 2019).

Estudos do mainstream econômico consideraram que o Brasil estava preso na “armadilha da renda média” (Ayiar et al., 2013). A argumentação se baseou em uma constatação empírica: a economia brasileira teve um ritmo elevado de crescimento médio anual entre 1950 e 1980, mas posteriormente atravessou um longo período de lento crescimento. No enfoque teórico original, a “armadilha” se refere a uma situação em que uma economia está simultaneamente em concorrência com (a) economias de baixa renda (onde os custos de produção são menores) que exportam produtos de baixo conteúdo tecnológico e (b) economias mais ricas (marcadas por elevada produtividade do trabalho) que dominam os mercados que concentram as principais inovações tecnológicas. O Brasil foi visto como exemplo do fracasso de uma estratégia de desenvolvimento equivocada, porque direcionada para uma mudança forçada de patamar sem as condições institucionais necessárias para tal (Gill & Kharas, 2015).

Porém, esse tipo de enfoque oferece uma explicação superficial, que não explicita os fatores mais relevantes para a compreensão do fracasso do Brasil em se tornar um país desenvolvido (Bresser-Pereira, 2021; Krasilshchikov, 2021). Para entender as circunstâncias que impediram o país de alcançar níveis

<sup>1</sup> A desindustrialização iniciou-se prematuramente no Brasil na década de 1990 (UNCTAD, 2003; Cano, 2023).

<sup>2</sup> A financeirização da economia brasileira foi impulsionada pela liberalização financeira na década de 1990 e pela reforma do mercado de capitais no início dos anos 2000. Mas o essencial é que a política monetária e a gestão da dívida pública são controladas por uma coalizão de interesses rentistas (Bresser-Pereira, de Paula, & Bruno, 2020).



elevados de renda per capita e de bem-estar social é necessário começar por uma perspectiva histórica, com ênfase na trajetória política recente. Em seguida, é crucial apresentar distintas visões sobre as causas estruturais da baixa produtividade do trabalho e da elevada desigualdade social, ressaltar a influência dos setores conservadores na definição das políticas adotadas pelo Estado nacional, assim como apontar os motivos da persistente subordinação a interesses estrangeiros.

## I. PERSPECTIVA HISTÓRICA E TRAJETÓRIA RECENTE

Entre 1950 e 1980, a economia brasileira teve um ritmo de expansão bastante elevado, graças aos avanços no processo de industrialização promovidos por diferentes governos (inicialmente em regime político democrático, mas em regime autoritário a partir de 1964). A taxa média de crescimento do Produto Interno Bruto (PIB) foi de 7.4% ao ano na década de 1950, 6.2% na década de 1960 e 8,6% na década de 1970. Tornou-se, assim, a economia mais desenvolvida da América Latina. Porém, desde então, perdeu seu dinamismo: o PIB cresceu, em média, apenas 1.6% ao ano na década de 1980 e 2.6% na década de 1990. Nos anos 2000, a economia brasileira parecia estar recuperando um ritmo de expansão razoável (embora menor do que outros países latino-americanos), tendo crescido em média 3.7% ao ano. Mas na década de 2010 o desempenho foi medíocre: o PIB ficou quase estagnado, em termos reais, com crescimento médio de 0.3% ao ano. Portanto, antes mesmo da crise da pandemia, a situação econômica do país havia se deteriorado.

No período marcado por progresso econômico acelerado e o rápido aumento da população urbana (1950-1980) houve uma transformação expressiva da estrutura social e dos padrões de consumo. Mas as desigualdades sociais foram aumentando. A mobilidade social ascendente contribuiu para dar prestígio à plutocracia patrocinada pelo governo militar, num contexto em que se ampliou o descompasso entre progresso e bem-estar social (Cardoso de Mello & Novais, 2009).

Em 1980, o Brasil era a oitava economia industrial do mundo capitalista e o valor da produção industrial brasileira correspondia, aproximadamente, à soma da produção industrial da China e da Coreia do Sul. Porém, nos anos iniciais daquela década, o contexto internacional mudou e a economia brasileira entrou em crise em razão da explosão da dívida externa e do descontrole inflacionário. O governo federal enfrentou déficits fiscais crônicos, os planos de desenvolvimento nacional se tornaram inviáveis e foi atribuída prioridade total para os planos de estabilização monetária e de equilíbrio do balanço de pagamentos (Carneiro, 2002).

Em 1985, a redemocratização deu início à Nova República e o governo federal prometeu assegurar os direitos civis e políticos e resgatar a dívida social (diante dos elevados níveis de pobreza e desigualdade). A Constituição Federal aprovada em 1988 consolidou a transição para uma nova ordem jurídico-política, na qual a cidadania estava condicionada à universalização dos direitos sociais (Aureliano & Draibe, 2023). Porém, a hiperinflação e o rentismo estimulado pela dívida pública restrinham o crescimento econômico e a ampliação do gasto social. No início dos anos 1990, à medida que o Consenso de Washington passava a exercer forte influência na América Latina, aumentavam as incertezas sobre a possibilidade de o Brasil se tornar uma nação desenvolvida, seja do ponto de vista econômico, seja do ponto de vista social (Furtado, 1992).

Em meados da década de 1990, após finalmente conseguir acabar com a hiperinflação, o governo brasileiro propagou o discurso da modernização baseada no receituário neoliberal e as crenças difundidas pelos defensores da globalização econômica guiada pelas leis do mercado. Mas o resultado foi decepcionante, tanto do ponto de vista econômico como social. A abertura comercial, a valorização cambial, a privatização e a desnacionalização de grandes empresas reforçaram o processo de desindustrialização, ao passo que a liberalização financeira e a elevação da taxa de juros reforçaram a racionalidade rentista dos agentes econômicos (Cano, 2023). A promessa de que investimentos de empresas estrangeiras promoveriam a pretendida atualização tecnológica não se realizou. A economia brasileira continuou vulnerável a oscilações dos mercados internacionais (Belluzzo & Almeida, 2023). O processo de reestruturação produtiva defensiva não proporcionou maior competitividade industrial, a baixa taxa de formação bruta de capital fixo e o constrangimento do gasto social prejudicaram a geração de empregos, e as políticas adotadas pelo governo de Fernando Henrique Cardoso (1995-2002) ampliaram as desigualdades econômicas e sociais (Proni & Henrique, 2003).

O governo de Luiz Inácio Lula da Silva (2003-2010) iniciou com o compromisso de abandonar a agenda neoliberal e reconduzir o país para a trilha do desenvolvimento nacional. Beneficiada pela conjuntura favorável da economia mundial entre 2004 e 2007, a economia brasileira passou a ser apontada como potencial protagonista no novo cenário mundial (Nayyar, 2008).

Em novembro de 2009, quando ficou evidente que o país era uma das primeiras economias nacionais a superar a recessão e retomar uma trajetória de crescimento, a revista *The Economist* publicou uma longa matéria com o título “Brazil takes off”. O texto afirmava que o Brasil tinha vantagens em relação a

outros países emergentes: o fato de ser uma democracia estável (ao contrário da China); o fato de não possuir insurgentes, conflitos étnicos, religiosos ou vizinhos hostis (caso da Índia); e o fato de exportar mais que petróleo e armas e tratar com respeito os investidores estrangeiros (em contraste com a Rússia). Naquela época, a criação da cúpula do BRICS<sup>3</sup> reforçou a opinião difundida em fóruns internacionais de que o Brasil estava se consolidando como uma “potência emergente” (Brainard & Martinez-Diaz, 2009).

A adoção de políticas anticíclicas em 2008-2009 permitiu superar a crise financeira. O elevado ritmo de crescimento econômico em 2010 (o PIB brasileiro cresceu 7.5%) foi acompanhado por forte geração de empregos, elevação dos salários e redução substantiva da pobreza extrema (International Institute for Labour Studies, 2011). Foi gerado um forte otimismo na projeção de investimentos em infraestrutura e na expansão da capacidade produtiva. Muitos economistas acreditaram haver uma possibilidade concreta de o Brasil, finalmente, superar a dependência econômica e entrar no seletivo grupo de países desenvolvidos (IPEA, 2010; Bielschowsky, 2012). Mas, para alterar o padrão de desenvolvimento, o processo de desindustrialização precisava ser revertido e o governo não poderia continuar refém das exigências do mercado financeiro.

O governo Dilma Rousseff (2011-2015) foi marcado, em seu início, pela tentativa de implementar uma estratégia ambiciosa de desenvolvimento econômico e social (Visentini, 2014). Contudo, devido à desaceleração no ritmo de crescimento, não houve adesão do setor privado para a realização de parcerias com entes governamentais para investimento em infraestrutura. Em 2012, o mercado financeiro reagiu fortemente contra a tentativa de abrupta redução da taxa de juros. Pouco depois, a gestão macroeconômica foi obrigada a abandonar uma diretriz pró-crescimento e a adotar medidas ortodoxas (por causa de pressões inflacionárias e do ambiente internacional volátil, com fluxos financeiros instáveis e preços de commodities decrescentes) (Prates, Fritz & de Paula, 2020). Assim, o governo enfrentou dificuldades para ampliar o gasto social e frustrou as expectativas de boa parte da população. Em adição, o escândalo de corrupção na Petrobras enfraqueceu o apoio político do governo no Congresso Nacional.

O “social-desenvolvimentismo” do governo Dilma não foi capaz de prosperar em meio à cultura política patrimonialista, avessa aos impulsos de transformação da nação. Verificou-se um descompasso entre o modelo de sociedade que se pretendia consolidar e o ambiente político conservador ainda dominante no país (Nobre, 2022). As massivas

manifestações de rua que eclodiram em junho de 2013 sinalizaram o esgotamento do “presidencialismo de coalização”. Embora a Presidenta tenha sido reeleita no final de 2014, os moderados avanços na área social (em especial, a redução da pobreza extrema, a geração de empregos decentes e a tímida melhoria na distribuição de renda) já não eram suficientes para dar legitimidade ao governo. Assim, o discurso neoliberal voltou a predominar nos campos da economia e da política, impulsionado pela grande mídia nacional (Saad-Filho, 2019).

A crise política que culminou com o impeachment de Dilma Rousseff em 2016 pode ser explicada por dois vetores convergentes: i) a influência oculta da política imperialista dos Estados Unidos na desestabilização de um governo não alinhado com Washington (Mier et al., 2023); ii) a força do “liberalismo conservador à brasileira”, que com frequência assume uma faceta autoritária para impor uma agenda econômica neoliberal (Querido, 2016, 4 julho). O golpe jurídico-parlamentar que instaurou o governo Michel Temer (2016-2018) recebeu o apoio decisivo tanto de grupos econômicos ultraliberais como de setores reacionários da política brasileira. Não foi a primeira vez na história política do Brasil que o governo dos EUA patrocinou um golpe contra a democracia, nem a primeira vez que adeptos do liberalismo se voltaram contra as políticas endereçadas a mitigar desigualdades sociais e garantir direitos humanos. Não surpreende que o neoliberalismo brasileiro tenha manifestado um traço autoritário e conservador. E que, para assegurar a continuidade no poder, as elites liberal-conservadoras tenham se associado com a extrema direita (em nome do combate ao socialismo e à corrupção), resultando na eleição do governo Jair Bolsonaro (2019-2022).

A fragilização da democracia durante o governo Bolsonaro foi consequência da conjunção de variados fatores (Antunes, 2022; Boito, 2023): após o impeachment de Dilma, ficou explícita a crise de hegemonia no bloco de poder; durante o governo Temer, os partidos políticos que controlavam a pauta do debate nacional foram desacreditados e perderam sua capacidade de representar os grupos de interesses; o combate à corrupção foi direcionado contra o Partido dos Trabalhadores e estimulou um ativismo político na burocacia estatal; alguns comandantes das Forças Armadas se atribuíram o papel de restauradores da ordem e passaram a intervir na vida política do país; os sindicatos assumiram uma atitude defensiva e sofreram grande derrota com a reforma trabalhista de 2017; e a mobilização política de lideranças religiosas (em especial, evangélicas) potencializou o comportamento reacionário da classe média e a passividade de amplas camadas de baixa renda. Em adição, a combinação entre um discurso político neofascista e o ataque contra os direitos

<sup>3</sup> Inicialmente, Brasil, Rússia, Índia e China. A África do Sul foi incluída em 2010. Sobre a criação do BRICS, ver Reis (2013).



humanos de grupos vulneráveis fragilizou ainda mais a democracia brasileira (Bastos & Belluzzo, 2023).

No período 2016-2022, o Estado brasileiro foi dominado pelo receituário neoliberal, como demonstram as políticas adotadas pelo governo federal, as reformas aprovadas pelo Congresso e os posicionamentos do Poder Judiciário. Em consequência, houve não apenas um abandono da estratégia de desenvolvimento econômico e social, mas também a imposição de um processo de "modernização conservadora". Mais uma vez, as classes dominantes se posicionaram contra o aumento do gasto social, reivindicaram do governo federal a garantia de seus ganhos rentistas e reforçaram a subordinação a interesses estrangeiros (Manzano, 2023).

A pandemia de Covid-19 teve consequências dramáticas no Brasil. E recolocou em discussão o papel do Estado, tanto no campo econômico como no campo social (Bastos & Belluzzo, 2023). Ficou evidente que a agenda neoliberal – baseada no retorno a um modelo de economia primário-exportadora e em políticas sociais focadas no combate à pobreza extrema – estava desestimulando investimentos em áreas estratégicas, aumentando as precariedades no mercado de trabalho e condenando grande parcela da população à desproteção e à insegurança.<sup>4</sup>

O retorno de Lula à Presidência da República, em 2023, reabriu o debate sobre a possibilidade de elevar o Brasil à condição nação desenvolvida por meio de uma estratégia que (i) restaure a soberania nacional e o respeito ao país no plano internacional, (ii) recupere o dinamismo econômico e induza o desenvolvimento tecnológico, (iii) promova a inclusão social e elimine a pobreza extrema, e (iv) estimule a transição energética e efetive o compromisso com a sustentabilidade ambiental. Evidentemente, ainda é cedo para avaliar os resultados dos esforços do governo atual.

Em suma, a história recente do Brasil mostra que a Constituição Federal de 1988 promoveu uma metamorfose do Estado, mas não foi capaz de assegurar a transição para uma democracia social. O problema não foi apenas a incapacidade do governo federal de promover um modelo de desenvolvimento econômico virtuoso. O Estado brasileiro tem demonstrado dificuldades para universalizar vários direitos sociais inscritos na Constituição e tem apresentado limitações estruturais, que se revelam, por exemplo, nas dificuldades de administrar seu imenso território, de desarmar a população civil em áreas de

<sup>4</sup> Nos últimos anos, foi desacreditada a ideia propagada pelo Banco Mundial de que os países em desenvolvimento poderiam trilhar um caminho de "prosperidade compartilhada" (World Bank, 2016), isto é, que havia condições favoráveis para combinar crescimento econômico com progressiva eliminação da pobreza extrema e redução da desigualdade de renda (em consonância com a Agenda 2030 das Nações Unidas).

conflito, de estabilizar a moeda sem prejudicar os trabalhadores e de cobrar impostos de empresas de variados tipos. Ainda assim, é desse Estado submetido a muitas restrições que se espera um protagonismo na condução dos processos de modernização, reindustrialização e promoção de justiça social no país (Nozaki, 2019).

## II. O DEBATE SOBRE OS OBSTÁCULOS AO CRESCIMENTO ECONÔMICO E À TRANSFORMAÇÃO ESTRUTURAL

Não há consenso sobre as razões do fracasso do Brasil em desenvolver uma economia de alta renda e bem-posicionada nas cadeias globais de valor. A exposição a seguir destaca posicionamentos distintos no debate recente,<sup>5</sup> contrapondo os que defendem uma agenda neoliberal e os que defendem uma estratégia desenvolvimentista.

A hipótese da "armadilha da renda média" tem sido aplicada por economistas latino-americanos (Paus, 2017; Paus & Robinson, 2022). Tal hipótese se baseia em dois pressupostos básicos: 1) as economias emergentes são capazes de seguir uma trajetória de convergência com economias mais avançadas e atingir um patamar elevado de renda per capita; 2) se não conseguem avançar nessa direção é porque estão adotando uma estratégia de crescimento equivocada e porque não possuem um ambiente institucional adequado. Nesse sentido, em vários países da América Latina, o principal desafio é combater os fatores que desestimulam a inovação tecnológica, impedem uma elevação persistente da produtividade e dificultam a ampliação das exportações, condições para um ritmo elevado de crescimento do PIB per capita. Em geral, a integração restrita dessas economias nas cadeias globais de valor é causada por excesso de proteções, deficiências da infraestrutura para exportação e "jurisdictional uncertainty" (Bacha, 2018).

No Brasil, essa abordagem ganhou vários defensores (Pereira, Veloso & Bingwen, 2013; Veloso, 2014). Mas o uso do termo "armadilha da renda média" gerou controvérsias.<sup>6</sup> Para evitar as dificuldades conceituais associadas ao termo, Regis Bonelli (2014) concentra sua análise sobre a desaceleração da economia brasileira nas causas e consequências de uma "armadilha do lento crescimento".<sup>7</sup> O principal

<sup>5</sup> Para uma síntese do debate acadêmico sobre as causas do subdesenvolvimento e os bloqueios ao desenvolvimento brasileiro no final do século XX, ver Barros (1996).

<sup>6</sup> As trajetórias das economias latino-americanas nas últimas décadas não sustentam os pressupostos teóricos da "armadilha da renda média" (Alonso & Ocampo, 2020).

<sup>7</sup> O termo "low-growth trap" foi usado pela OECD para descrever o contexto de meados da década de 2010, que afetava muitas economias do G-20, sendo por isso necessário adotar uma nova combinação de políticas monetárias, fiscais e "estruturais" para impulsionar uma trajetória de alto crescimento (OECD, 2016).

problema apontado pelo autor é o fraco desempenho da taxa de produtividade média do trabalho e da taxa de produtividade total dos fatores, agravado em conjunturas marcadas por queda no preço das commodities exportadas. Ele também argumenta que uma parte da desaceleração do crescimento é explicada por mudanças demográficas, que acarretam um aumento progressivamente menor da força de trabalho. Para sair da armadilha seria necessário elevar a taxa de investimento nas atividades mais competitivas para compensar a baixa produtividade prevalecente em diversos segmentos do setor de serviços.

Outro tipo de abordagem para explicar as causas e consequências do lento crescimento econômico e da persistência das elevadas desigualdades sociais enfatiza a qualidade das instituições econômicas e, em especial, das instituições políticas. Na literatura internacional, tal abordagem ganhou evidência com o livro *Why nations fail* (Acemoglu & Robinson, 2012).<sup>8</sup>

No Brasil, vários economistas foram inspirados por interpretações neoinstitucionalistas. Por exemplo, Marcos Lisboa e Zeina Latif (2013) argumentam que o principal problema são as convenções espoliativas que balizam a política nacional, as quais validaram a concessão generalizada de privilégios direcionados pelo governo a setores específicos e a normalização de comportamentos “rent-seeking”, resultando em debilitamento da economia no longo prazo. Eles afirmam que os custos dos privilégios, benefícios e proteções são diluídos por toda a sociedade, sem transparência, desconsiderando seus impactos sobre a estrutura de preços, a distribuição de renda, a evolução da produtividade e o crescimento econômico. Práticas rent-seeking incluem isenções fiscais, empréstimos subsidiados, tarifas protecionistas, tratamentos especiais em licitações públicas e até corrupção. Mas, como o passar do tempo, torna-se mais difícil para o governo equacionar conflitos redistributivos. Em junho de 2013, explodiram manifestações de rua em todo o país, expondo o sentimento de frustração de grande parte da população com a qualidade das políticas públicas e com demandas sociais não atendidas.

No mesmo sentido, Marcos Mendes (2014) atribui a baixa taxa média de crescimento do PIB brasileiro a partir da década de 1980, em última instância, ao que ele considera como distorções da democracia: o chamado “populismo”. Para ele, a Constituição Federal de 1988, ao ampliar os direitos sociais, acarretou desequilíbrios fiscais recorrentes. Além disso, ao tentar atender as demandas dos mais

diversos segmentos sociais, os governos eleitos aumentaram o endividamento público e geraram pressões inflacionárias. Nessa perspectiva, para reduzir as desigualdades sociais seria necessário que o governo federal concentrasse seus gastos nas necessidades das populações mais pobres (por exemplo, educação fundamental), em vez de promover generosas políticas sociais universais (que não cabem no orçamento da União) e de alimentar práticas rent-seeking (que apenas perpetuam privilégios e bloqueiam a aprovação das necessárias reformas institucionais).

Evidentemente, é possível combinar a explicação de Bonelli sobre o desempenho medíocre da produtividade média com os argumentos de Lisboa e Latif sobre a baixa eficácia das instituições políticas e econômicas. É o que fazem Affonso Celso Pastore, Marcelo Gazzano e Caio Carbone (2018) na apresentação de um estudo dedicado a propor uma estratégia para o Brasil escapar da armadilha do lento crescimento. Para eles, a queda da taxa de investimentos e o declínio da produtividade total dos fatores, que levaram a economia a um extenso ciclo recessivo, foram causadas pela deterioração institucional ocorrida entre o final dos anos 2000 e o início dos anos 2010. O problema, em síntese, foi a adoção de uma estratégia de desenvolvimento anacrônica, baseada em forte intervenção do Estado no funcionamento dos mercados.<sup>9</sup>

Em oposição a essas abordagens, economistas do campo desenvolvimentista apresentam explicações muito diferentes para o problema do crescimento lento da maioria dos países de renda média. Partem do pressuposto de que o desenvolvimento econômico não ocorre de modo espontâneo, sendo necessária uma estratégia intencional liderada pelo Estado. Ademais, frisam que o desenvolvimento econômico não se restringe ao crescimento do PIB per capita e requer uma transformação da estrutura produtiva (em direção a um maior nível de complexidade tecnológica). Nesse sentido, criticam o receituário neoliberal e refutam a tese de que a divisão internacional do trabalho deve refletir as “comparative advantages” existentes. O livro *Kicking away the ladder* (Chang, 2002) é um bom exemplo desse tipo de crítica ao discurso neoliberal.

Luiz Carlos Bresser-Pereira tem sido um dos principais críticos à agenda neoliberal no Brasil. Para ele, em vez de uma armadilha da renda média, a economia brasileira foi presa em uma “armadilha da liberalização” (que combinou abertura comercial abrupta e indiscriminada com desregulação do

<sup>8</sup> É importante mencionar que na interpretação seminal de Acemoglu e Robinson (2012) o Brasil foi apresentado como um exemplo do fortalecimento de instituições políticas e econômicas inclusivas, responsáveis pelo sucesso do país naquela conjuntura histórica (início da década de 2010), em contraste com o fracasso de outras nações.

<sup>9</sup> Em complemento, ver a crítica ao “novo-desenvolvimentismo” feita por Marcos Lisboa e Samuel Pessoa (2016), centrada nos desequilíbrios que seriam causados por uma política industrial voluntarista e nos impactos negativos que uma desvalorização cambial forçada traria ao controle da inflação.





mercado financeiro), principal responsável pelo baixo dinamismo e pela desindustrialização. Após o abandono do projeto de desenvolvimento nacional na década de 1980, em razão da crise fiscal do Estado, persistiu a restrição aos investimentos públicos, enquanto os investimentos privados também foram desestimulados, seja pela alta rentabilidade assegurada aos títulos da dívida pública, seja pela sobrevalorização crônica da taxa de câmbio (Bresser-Pereira, 2021).

Um artigo escrito por ele com outros dois colegas (Bresser-Pereira, Araújo & Peres, 2020) faz uma crítica contundente às análises que explicam o lento crescimento com base na armadilha da renda média. Eles começam com a constatação de que as economias classificadas no grupo de "renda média" são bastante heterogêneas, não havendo razão para generalizações. E lembram que as causas genéricas apresentadas nesse tipo de explicação (qualidade das instituições legais, problemas demográficos, falta de infraestrutura social, deficientes políticas macroeconômicas) já estavam presentes nos países em desenvolvimento quando estes cresceram rapidamente. Mas o principal argumento é que, em vez de promover o crescimento, as reformas liberalizantes adotadas na América Latina causaram desequilíbrios macroeconômicos, em especial o aumento da taxa de juros e a sobrevalorização crônica da taxa de câmbio, o que causou uma desvantagem competitiva para diversos segmentos empresariais (tanto em mercados externos como em mercados domésticos). Ou seja, a dupla liberalização – comercial e financeira – propiciou a ocorrência da "doença holandesa" em países latino-americanos: por um lado, os saldos elevados na balança comercial gerados pela exportação de commodities provocaram valorização cambial (que foi usada para baratear importações e combater a inflação); por outro, a entrada de capital estrangeiro especulativo, estimulada por uma taxa de juros alta, também sustentou uma sobrevalorização cambial. Nessa situação, o rebaixamento das tarifas de importação restringiu ainda mais a possibilidade de a indústria nacional resistir à concorrência externa.

Em complemento, Paulo Gala e André Roncaglia (2020) argumentam que a economia brasileira se tornou refém da armadilha da renda média à medida que o investimento em atividades tecnologicamente sofisticadas foi se reduzindo e que parcela crescente da força de trabalho passou a se ocupar em atividades de baixa produtividade. A progressiva perda de complexidade da estrutura produtiva se refletiu na composição das exportações e importações, resultando em um papel desvalorizado na divisão internacional do trabalho. Nessa perspectiva inspirada no conceito de "complexidade econômica", o fracasso do Brasil é explicado pelos equívocos na

gestão macroeconômica e pela incapacidade de transitar para uma economia centrada no conhecimento, que é o fundamento de uma "learning society".

No campo desenvolvimentista também se destaca a abordagem crítica de Wilson Cano (2023). Segundo esse autor, a imposição da agenda neoliberal às economias latino-americanas (em alinhamento com o Consenso de Washington) foi um dos principais motivos para a reprodução do subdesenvolvimento, agora em novas bases. No Brasil, foi nítido o avanço do processo de "desindustrialização prematura" desde a década de 1990, embora o discurso governamental afirmasse que as reformas liberalizantes e a privatização de empresas estatais estimulariam a atração de investimento direto estrangeiro e uma modernização do parque industrial. Na década seguinte, tal processo continuou avançando, conforme aumentava o peso das commodities na pauta de exportações e crescia a importação de bens de capital e de insumos industriais, assim como de bens manufaturados de consumo. Em simultâneo, a elevada rentabilidade dos ativos financeiros e a concorrência com produtos chineses desestimularam a maioria dos empresários nacionais a correr riscos com investimentos industriais. Na verdade, até 2014, o problema não foi a ausência de política industrial, mas o fato desta se tornar ineficaz em um ambiente macroeconômico desfavorável ao investimento em ramos industriais desprotegidos. Em suma, para Cano, não há como superar o subdesenvolvimento enquanto a política econômica estiver a serviço dos interesses do mercado financeiro, impedindo que o Estado assegure a efetivação dos direitos sociais para toda a população brasileira.

Para explicar por que o Brasil não conseguiu restaurar sua capacidade de crescimento econômico de longo prazo, André Nassif e Carmem Feijó (2013) se baseiam no pressuposto de que existem diferentes "convenções" sobre como influenciar decisões de agentes públicos e privados para estimular a inovação tecnológica e o crescimento econômico por meio de instituições políticas, econômicas e sociais. Eles identificam duas convenções referentes ao crescimento de longo prazo em disputa: a "liberal" (predominante na década de 1990 e no início dos anos 2000) e a "neodesenvolvimentista" (predominante no final dos anos 2000 e no início da década de 2010). O baixo desempenho da economia brasileira, medido pela taxa de crescimento real do PIB, pode ser explicado por uma fraca coordenação entre as políticas macroeconômicas de curto prazo e as políticas industriais e tecnológicas de longo prazo. Essa fraca coordenação, por sua vez, resultou da ênfase exagerada no controle da inflação em detrimento de uma estratégia de desenvolvimento

direcionada para sustentar taxas mais altas de crescimento e proporcionar o pleno emprego.<sup>10</sup>

Ricardo Carneiro (2023), por sua vez, destaca a tentativa de transição para um novo padrão de crescimento durante o governo Dilma por meio de uma estratégia de “reindustrialização”. Para ele, essa tentativa fracassada pode ser explicada pela superposição de deficiências estruturais, erros na condução da política econômica em meio a fortes restrições externas e falta de apoio político ao projeto desenvolvimentista que buscava sanar as fragilidades genéticas da economia brasileira. Esse enfoque destaca diferentes aspectos que, em conjunto, contribuem para uma compreensão mais completa dos bloqueios ao desenvolvimento econômico, combinando análises conjunturais com determinantes estruturais e arranjos político-institucionais.<sup>11</sup>

Em suma, o debate recente sobre os bloqueios ao desenvolvimento econômico brasileiro tem sido marcado por dois tipos de posicionamentos:<sup>12</sup> de um lado, os economistas que defendem uma agenda neoliberal se baseiam em hipóteses teóricas sobre os fatores responsáveis pelo aumento da produtividade e em postulados sobre as reformas institucionais necessárias para superar o lento crescimento econômico; de outro, os desenvolvimentistas destacam as relações de dependência ou subordinação, priorizam o papel do Estado na definição de uma estratégia de crescimento e defendem uma intervenção capaz de redirecionar a transformação estrutural.

### III. APROFUNDANDO O ENTENDIMENTO SOBRE OS DESAFIOS DO DESENVOLVIMENTO NACIONAL

Outras interpretações sobre as razões do fracasso do Brasil em se tornar um país desenvolvido podem contribuir para um entendimento mais completo, que inclui analisar as causas da elevada desigualdade social, ressaltar a influência dos setores conservadores

<sup>10</sup> Para comprovar que o Brasil não estava trilhando um caminho de atualização tecnológica, mas ficando para trás em relação às novas fronteiras de expansão da economia mundial, Nassif, Feijó e Araújo (2015) analisaram as forças motrizes básicas da evolução da produtividade e da mudança estrutural no longo prazo. Eles mostraram que houve um aumento dramático na elasticidade renda da demanda por importações a partir da década de 1990 e uma pequena diminuição na elasticidade renda das exportações, o que significa que país enfrenta grandes restrições externas para manter elevadas taxas de crescimento no longo prazo.

<sup>11</sup> Outra interpretação que merece ser mencionada é a de Pierre Salama (2019). Além de destacar a “financeirização” e a “desindustrialização”, ele também enfatiza que a estratégia de desenvolvimento do governo Dilma foi abortada em um cenário internacional instável, em razão da profunda recessão econômica, que agravou a crise política no país.

<sup>12</sup> Para uma explicação detalhada dos pressupostos teóricos que justificam o discurso neoliberal e dos argumentos que fundamentam o discurso desenvolvimentista no Brasil, ver Oliveira e Proni (2019) e Bastian e Bastos (2022).

na definição das estratégias de crescimento econômico e na elaboração da agenda de políticas sociais, assim como apontar os motivos da persistente subordinação a interesses estrangeiros.

A abordagem neoestruturalista da Economic Commission for Latin America and the Caribbean (ECLAC) inspirou muitos economistas brasileiros. Para a ECLAC (2018) é necessário adotar uma visão integrada do desenvolvimento capaz de enfrentar o problema da baixa eficiência das economias latino-americanas, promover maior equidade social e transitar para uma economia de baixo carbono. A eficiência econômica está relacionada com o desempenho microeconômico (foco em inovação tecnológica e crescimento da produtividade), com a dinâmica macroeconômica (foco no mercado de trabalho e na distribuição de renda) e com a transição energética (foco na sustentabilidade ambiental e na questão climática). Além disso, um dos principais obstáculos no combate às desigualdades sociais é a “culture of privilege”, que reforça um comportamento rent-seeking exacerbado.

Ao explicar como a abordagem da ECLAC contribui para a análise do Brasil contemporâneo, Marcos Vinícius Chilitto Leite (2019) esclarece que os problemas do subdesenvolvimento se tornaram mais complexos e desafiadores no século XXI. Ele enfatiza a dificuldade de escapar da subordinação resultante de uma posição periférica nas cadeias globais de valor, a qual foi reforçada pela relação simbiótica que a economia brasileira estabeleceu com a economia chinesa. Também menciona o voto ideológico à adoção de uma política industrial conectada com a promoção de eficiência energética. Além disso, ele destaca a ampliação do conceito de desenvolvimento para além da esfera econômica, colocando o combate às principais facetas da desigualdade social no centro da agenda política. Por isso, embora o Brasil fosse visto como exemplo de sucesso na redução da pobreza extrema, ainda faltava um longo caminho a percorrer em direção a uma sociedade menos desigual e socialmente mais justa.<sup>13</sup>

Por outro lado, há interpretações que enfatizam bloqueios políticos, em especial a correlação de forças

<sup>13</sup> Pierre Salama (2020) também considera as elevadas desigualdades econômicas e sociais como um fator que prejudica o crescimento econômico na América Latina. Segundo esse autor, a tendência a uma estagnação econômica de longo prazo tem explicações diferentes quando são comparados três países latino-americanos: Argentina, Brasil e México. No caso da Argentina, a altíssima volatilidade macroeconômica (alternância entre “stop and go”) teve efeitos muito negativos sobre o desenvolvimento produtivo. Mas, no caso de Brasil e México, as elevadas desigualdades (tanto de renda quanto de riqueza) assumem um peso importante na reprodução do atraso. Portanto, ele também afirma que é necessário combinar uma política industrial focada na elevação da produtividade com uma política social focada na redistribuição de renda e no combate às desigualdades.



políticas vigente. Por exemplo, Marcio Pochmann (2022) argumenta que a principal razão do fracasso brasileiro foi a desistência da burguesia nacional, desde a década de 1990, de apoiar um projeto político de desenvolvimento nacional assentado na industrialização, por causa da prioridade conferida aos ativos financeiros em sua estratégia de valorização da riqueza. A ausência de tal projeto político resultou na aceitação de uma posição subordinada na nova ordem econômica mundial. Aos poucos, os empresários ligados ao mercado financeiro ou ao agronegócio passaram a comandar a política no país. E o Estado brasileiro se converteu em defensor dos interesses dessa elite empresarial rentista, uma elite subordinada ao capital internacional e avessa ao risco da concorrência em mercados dominados por conglomerados sediados em países centrais (e, mais recentemente, também por empresas chinesas).

Em paralelo, a elite da classe trabalhadora brasileira não teve força suficiente para defender um projeto de desenvolvimento nacional compromissado com a geração de empregos de qualidade (aqueles com salários acima da média e com proteção legal) e com a efetividade de políticas sociais universais (em particular, saúde, educação e previdência social). Os sindicatos mais organizados e com maior influência política se empenharam em defender suas respectivas categorias profissionais. A principal conquista da classe trabalhadora foi a aprovação de uma política perene de elevação do salário mínimo acima da inflação. Mas a enorme desigualdade na distribuição de ganhos propiciados pelo crescimento econômico persistiu, inclusive por causa dos impactos negativos da crescente dívida pública na capacidade do governo federal de investir na área social. E a dificuldade de resistir à influência crescente da financeirização da economia sobre o desenho e a gestão de várias políticas sociais comprovou que o sistema de proteção social previsto na Constituição Federal havia sido desfigurado (Lavinas, 2017).

A situação social se deteriorou bastante após o golpe jurídico-parlamentar e o retorno da agenda política neoliberal: de um lado, a ampliação da taxa de subutilização da força de trabalho e da taxa de informalidade (inclusive em razão do crescimento desproporcional do setor terciário de baixa produtividade) e a precarização dos empregos da classe média (menor acesso à proteção social e trabalhista); de outro, a imposição de restrições à ampliação do gasto social do governo federal e o desmonte de diversas políticas públicas. O resultado foi uma polarização crescente entre pessoas incluídas e excluídas no interior da sociedade brasileira (Pochmann, 2020).

Em suma, a explicação sobre as causas do fracasso do Brasil em se tornar um país desenvolvido não pode se limitar às evidências da armadilha do

lento crescimento econômico (causada pela crônica dificuldade na ampliação da produtividade média), nem pode se restringir aos argumentos da armadilha da liberalização (causada pela adoção da agenda neoliberal). É preciso abranger um conjunto mais amplo de fatores históricos, combinando análises econômicas, políticas e sociológicas para compreender os obstáculos recorrentes a um desenvolvimento nacional substantivo desde a década de 1990, os quais se manifestaram de modo intenso no período 2015-2022, mas sem recorrer ao argumento simplificador de uma conspiração arquitetada pela classe dominante.

Nesse sentido, chama atenção a interpretação abrangente de Vitor Krasilshchikov (2021) a respeito dos motivos da baixa eficácia das estratégias de desenvolvimento formuladas pelos governos Lula e Dilma (classificados como governos de centro-esquerda), os quais também ajudam a entender o redirecionamento imposto pelos governos Temer e Bolsonaro. De acordo com essa interpretação instigante, o fracasso do ensaio desenvolvimentista no Brasil contemporâneo está relacionado com três problemas cruciais: i) a falta de atores sociais com força suficiente para legitimar e sustentar uma estratégia de desenvolvimento pautada na soberania nacional e na inclusão social; ii) o descompasso entre, de um lado, o processo de modernização econômica e a amplitude dos direitos sociais inscritos na Constituição Federal e, de outro, a persistência de uma mentalidade política conservadora e a reprodução de elevada desigualdade social; e iii) a superficialidade das mudanças positivas ocorridas sob os governos de centro-esquerda, que não foram capazes de assegurar transformações estruturais duradouras.

Krasilshchikov (2021) ressalta que, entre 2003 e 2014, as tentativas de substituição da agenda neoliberal (principalmente no início do governo Dilma) surtiram pouco efeito, diante da recorrente exigência de austeridade fiscal (impondo restrições ao gasto social) e de elevada rentabilidade dos ativos financeiros (desestimulando investimentos produtivos). O alcance limitado das estratégias de desenvolvimento adotadas ficou evidente: no ciclo de crescimento econômico com inclusão social (2004-2013) continuou prevalecendo uma forma de inserção na globalização que subordinava a política econômica aos interesses do agronegócio e do mercado financeiro. A perda de dinamismo econômico (a partir de 2014) explicitou o esgotamento daquele modelo de crescimento e contribuiu para erodir a base social que sustentava um governo moderadamente progressista.

O ciclo de prosperidade econômica vivido por países latino-americanos nos anos 2000, induzido pelo aumento dos preços das commodities, reforçou a importância das exportações como motor do crescimento econômico na região, mas ao mesmo tempo ampliou a necessidade de importar insumos

industriais e bens de consumo. Krasilshchikov (2021) afirma que o sucesso do agronegócio e a parceria comercial com a China levaram a economia brasileira a acelerar o processo de desindustrialização prematura. Em um contexto macroeconômico marcado por juros reais elevados e sobrevalorização cambial, as tentativas do governo Lula e do governo Dilma de implementar uma política industrial soberana e estimular inovações tecnológicas não foram eficazes.

Do ponto de vista social, os avanços observados na sociedade brasileira também ficaram muito aquém das expectativas geradas. Segundo esse autor, a principal conquista da política social nos governos de centro-esquerda foi a erradicação da pobreza extrema, mas não houve mudança significativa na estrutura social, embora alguns economistas apontassem apressadamente a diversificação do consumo das famílias de baixa renda como indício da emergência de uma “sociedade de classe média”.

Para Krasilshchikov (2021), o alcance limitado e as deficiências da política social não resultaram de erros de estratégia, nem podem ser explicados apenas pelas restrições orçamentárias. Ele ressalta que a adesão aparentemente paradoxal do governo Lula a uma política econômica ortodoxa foi condicionada não apenas por circunstâncias externas ou pela inevitável aliança com forças políticas conservadoras. Havia o desejo de servir aos interesses da base social do governo – os grupos sociais pobres beneficiados pela baixa inflação, pela valorização cambial e pelo acesso ao crédito para consumo. O “Bolsa Família” (programa transferência de renda para famílias muito pobres), criado em 2004, tinha um custo relativamente baixo e permitia contemplar os excluídos do mercado de trabalho que não podiam se beneficiar da valorização do salário mínimo. Ao mesmo tempo, o governo se via obrigado a atender os interesses das elites dominantes, que se opunham a mudanças na estrutura tributária nacional e impiedam uma ampliação dos gastos destinados a reduzir as desigualdades sociais persistentes.

Para sair da armadilha da renda média e alcançar um patamar mais elevado de bem-estar social, segundo Krasilshchikov (2021), o Brasil precisaria abandonar a via da “modernização conservadora” – reforçada pelo governo Bolsonaro – e adotar uma estratégia construída democraticamente para a superação da crise global provocada pela pandemia. Não bastaria destravar os bloqueios ao crescimento econômico e ampliar os gastos sociais focalizados nos segmentos mais vulneráveis da população. Para ele, havia duas questões cruciais para a definição da trajetória do país na década atual: 1) O posicionamento do Brasil na disputa aberta entre os EUA e a China, que poderia resultar em manter uma posição subordinada (economicamente dependente) ou em transitar para uma posição soberana (com maior protagonismo

internacional); 2) A disputa entre as prioridades da elite liberal-conservadora (geralmente restritas à defesa de seus interesses imediatos) e as demandas de movimentos sociais progressistas (em defesa dos direitos sociais inscritos na Constituição Federal). Naquela conjuntura, sua conclusão era pessimista, pois seria ingenuidade acreditar que o Brasil tinha à sua frente um “futuro brilhante” como líder dos países latino-americanos na ordem mundial em mudança, ou que haveria espaço para uma prosperidade compartilhada e inclusiva.

Portanto, as interpretações aqui mencionadas permitem afirmar que não há uma causa única para o referido fracasso do Brasil. Muitos economistas apontaram um ou dois problemas principais, tais como a educação precária da população (baixa qualificação), a política econômica equivocada (juros elevados e sobrevalorização cambial), a dependência de poupança externa (mercado de capitais desfuncional), a legislação inadequada (obsolescência institucional), a dependência tecnológica (ineficácia da política industrial), entre outros. Mas o aprofundamento da análise conduz ao terreno da política.<sup>14</sup> É crucial ponderar que a intervenção do Estado brasileiro reflete, em grande medida, a correlação de forças políticas vigente, que historicamente tem reproduzido uma “plutocracia”. Os atores sociais interessados em superar a trajetória de desenvolvimento dependente e excludente têm um poder limitado e insuficiente, em comparação com os atores mais influentes, que defendem a agenda neoliberal e tentam impor um “capitalismo selvagem”.

#### IV. CONSIDERAÇÕES FINAIS

Em janeiro de 2023, quando iniciou o terceiro mandato de Lula da Silva, havia a esperança de que o novo governo pudesse interromper o caminho destrutivo que vinha sendo trilhado e revertesse a trajetória de regressão econômica e social. Em seu discurso de posse na Presidência da República, Lula não prometeu um desenvolvimento econômico e social equivalente ao de países mais ricos, nem anunciou que o país perseguiria o status de grande potência internacional. Mas havia uma intenção clara de alterar o estilo de desenvolvimento do país, considerando suas

<sup>14</sup> De acordo com Bruno e Caffe (2017), a compreensão das relações Estado-economia é uma etapa necessária da análise das condições que bloqueiam o desenvolvimento brasileiro. Segundo esses autores, o regime de crescimento econômico que prevaleceu desde a década de 1990 se caracterizou por baixo dinamismo e instabilidades conjunturais recorrentes. Em períodos de crescimento, o modelo dominado pelas finanças é descrito como “finance-led growth regime”, mas em períodos de estagnação pode ser denominado “finance-blocked growth”. O importante é que esse regime só conseguiu se reproduzir por causa da institucionalidade mantida pelo Estado, que foi obrigado a estabelecer restrições ao gasto público para garantir o pagamento de juros exorbitantes de uma dívida pública sempre crescente (Bruno & Caffe, 2017).



três dimensões principais: econômica, social e ambiental.

Eleito com apoio de uma coalizão política heterogênea, o atual governo Lula (2023-2026) prometeu elevar o ritmo de crescimento econômico, estimular a geração de empregos, reverter o desmonte das políticas públicas, restaurar instrumentos de planejamento econômico, fortalecer as instituições democráticas, eliminar definitivamente a fome e a pobreza extrema, defender os direitos humanos, investir em segurança pública e enfrentar seriamente a questão ambiental. A “Mensagem do Presidente” divulgada no *Plano Plurianual 2024-2027* é clara quanto ao significado amplo atribuído ao desenvolvimento almejado (Lula da Silva, 2023, pp. 4-5):

É preciso atuar para ampliar a competitividade de nossa economia e a inserção soberana do Brasil na nova economia global que se desenha. Orientar esforços e recursos para reinindustrializar o país, destravar a infraestrutura, preparar nossa gente para a economia do conhecimento, descarbonizar e digitalizar a economia, avançar na transição energética e preservar a nossa biodiversidade. A sustentabilidade é um imperativo! Recuperar a capacidade de o Brasil crescer acima da média mundial de modo inclusivo e sustentado também é uma prioridade. [...]

Os 88 programas propostos, os recursos orçamentários alocados, as iniciativas e entregas previstas convergem para um só rumo, a construção da nossa visão de futuro: “Um país democrático, justo, desenvolvido e ambientalmente sustentável, onde todas as pessoas vivam com qualidade, dignidade e respeito às diversidades”. Este é o Brasil que desejamos para todos e todas as brasileiras.

Evidentemente, transformar o Brasil em uma “nação desenvolvida” é uma missão complexa e demorada. Os desafios são imensos. Por exemplo, é preciso reconstruir as capacidades estatais, combater as imensas desigualdades sociais, aprimorar o federalismo, resgatar o nacionalismo, estimular lideranças empresariais, avançar na produção de patentes, entre outras prioridades. No campo econômico, é necessária uma estratégia orientada para superar os vários tipos de bloqueios ao desenvolvimento: a armadilha da pobreza, a armadilha do lento crescimento, a armadilha da liberalização, a armadilha da dependência de commodities, a armadilha da dívida pública crescente, a armadilha da austeridade fiscal. Além disso, é preciso saber se a posição do Brasil no cenário internacional e as condições geoeconômicas atuais podem ampliar ou restringir o “policy space” (isto é, a execução de políticas discricionárias); e se o país vai assumir liderança internacional no enfrentamento dos impactos do aquecimento global.

A estratégia ambiciosa de desenvolvimento nacional anunciada pelo governo Lula depende do sucesso de seus programas prioritários, com destaque para (i) o Novo Programa de Aceleração do

Crescimento, com foco em projetos de infraestrutura econômica e social; (ii) o Plano de Ação para a Neoindustrialização: 2024-2026, com foco em cadeias agroindustriais sustentáveis, complexo econômico industrial da saúde, transformação digital da indústria para ampliar a produtividade, transição energética segura e atualização tecnológica da indústria de defesa militar; (iii) os programas sociais, em especial educação básica, atenção primária à saúde e segurança alimentar; e (iv) o enfrentamento da emergência climática, com ênfase no combate ao desmatamento. Em adição, foi anunciado o compromisso com uma política econômica voltada para a geração de empregos de qualidade (o que implica em reduzir a informalidade no mercado de trabalho).

Porém, os avanços foram muito tímidos nos dois primeiros anos do mandato. Persistiu a resistência política a uma estratégia desenvolvimentista socialmente inclusiva e ambientalmente sustentável. O Congresso Nacional continuou dominado por grupos liberal-conservadores, que chantageiam o governo para a aprovação do orçamento federal e restringem sua capacidade de investimento. O Banco Central estabeleceu uma política monetária contracionista, que usa exclusivamente a taxa de juros para conter a inflação, o que inibe o investimento privado e aumenta as despesas financeiras do governo federal. Esse ambiente hostil dificulta muito a implantação da estratégia anunciada.

Do ponto de vista econômico, o problema central não é a falta de crescimento. Após a recessão causada pela pandemia em 2020 (queda de 3.3% do PIB), a economia se recuperou em 2021 (crescimento de 4.8%), depois continuou crescendo (3.0% em 2022 e 2.9% em 2023). A projeção atual é de um crescimento do PIB de 3.3% em 2024. Usando como indicador o PIB per capita (em preços constantes), em 2024 será ultrapassado o pico registrado em 2013, e há sinais de que a economia continuará em uma trajetória de crescimento nos próximos anos.<sup>15</sup>

A questão crucial é a dificuldade em alterar o modelo de crescimento, que continua concentrando a renda, gerando empregos de baixo salário, mantendo a dependência do agronegócio, alimentando o rentismo, reforçando as desigualdades sociais e regionais, priorizando atividades de alta emissão de CO<sub>2</sub>. Além disso, o modelo de crescimento tem consequências para a estrutura de tributação e para a sustentação financeira do sistema de proteção social prometido na Constituição Federal, sendo preciso considerar que a

<sup>15</sup> Porém, a continuidade desse ritmo de crescimento é vista como um problema pelos economistas neoliberais, que identificam a tendência de redução da taxa de desemprego (caiu de 9.3% no segundo trimestre de 2022 para 6.9% no segundo trimestre de 2024, voltando ao nível registrado em 2014) como uma fonte perigosa de pressão inflacionária.

população (estimada em mais de 212 milhões de pessoas em 2024) tende a envelhecer nas próximas décadas. Assim, a discussão que precisa ser feita não se refere à possibilidade de o Brasil escapar da armadilha da renda média e sim aos obstáculos enfrentados pelo governo para promover uma mudança substancial e duradora no padrão de desenvolvimento nacional. Portanto, pelo menos duas constatações ficam evidentes e merecem ser examinadas:

- 1) A tentativa de construção no Brasil contemporâneo, em um regime político democrático, de um “Estado desenvolvimentista” orientado para solucionar todas as demandas legítimas apresentadas por diferentes grupos sociais e, ao mesmo tempo, produzir uma transformação qualitativa rumo a um patamar mais elevado de desenvolvimento nacional, tem sido inviabilizada desde a década de 2000 e continua enfrentando atualmente obstáculos quase insuperáveis.
- 2) A missão complexa de transformar o Brasil em uma nação desenvolvida requer a revisão das estratégias ao longo do tempo, conforme as circunstâncias vão mudando, mas também um compromisso inabalável com as diretrizes estabelecidas e com a continuidade das políticas e ações prioritárias. Para tal, a responsabilidade pelo sucesso ou fracasso das estratégias não pode ser atribuída apenas aos governantes, isto é, a responsabilidade deve ser compartilhada entre os diferentes segmentos sociais e grupos de interesses que participam da vida política da nação.

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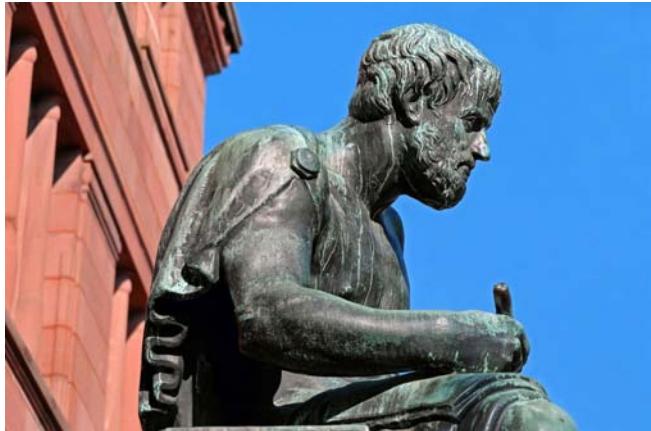
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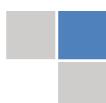
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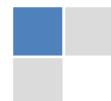
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### Appealing Decisions

Unless specified in the notification, the Editorial Board's decision on publication of the paper is final and cannot be appealed before making the major change in the manuscript.

### Acknowledgments

Contributors to the research other than authors credited should be mentioned in Acknowledgments. The source of funding for the research can be included. Suppliers of resources may be mentioned along with their addresses.

### Declaration of funding sources

Global Journals is in partnership with various universities, laboratories, and other institutions worldwide in the research domain. Authors are requested to disclose their source of funding during every stage of their research, such as making analysis, performing laboratory operations, computing data, and using institutional resources, from writing an article to its submission. This will also help authors to get reimbursements by requesting an open access publication letter from Global Journals and submitting to the respective funding source.

## PREPARING YOUR MANUSCRIPT

Authors can submit papers and articles in an acceptable file format: MS Word (doc, docx), LaTeX (.tex, .zip or .rar including all of your files), Adobe PDF (.pdf), rich text format (.rtf), simple text document (.txt), Open Document Text (.odt), and Apple Pages (.pages). Our professional layout editors will format the entire paper according to our official guidelines. This is one of the highlights of publishing with Global Journals—authors should not be concerned about the formatting of their paper. Global Journals accepts articles and manuscripts in every major language, be it Spanish, Chinese, Japanese, Portuguese, Russian, French, German, Dutch, Italian, Greek, or any other national language, but the title, subtitle, and abstract should be in English. This will facilitate indexing and the pre-peer review process.

The following is the official style and template developed for publication of a research paper. Authors are not required to follow this style during the submission of the paper. It is just for reference purposes.



### **Manuscript Style Instruction (Optional)**

- Microsoft Word Document Setting Instructions.
- Font type of all text should be Swis721 Lt BT.
- Page size: 8.27" x 11", left margin: 0.65, right margin: 0.65, bottom margin: 0.75.
- Paper title should be in one column of font size 24.
- Author name in font size of 11 in one column.
- Abstract: font size 9 with the word "Abstract" in bold italics.
- Main text: font size 10 with two justified columns.
- Two columns with equal column width of 3.38 and spacing of 0.2.
- First character must be three lines drop-capped.
- The paragraph before spacing of 1 pt and after of 0 pt.
- Line spacing of 1 pt.
- Large images must be in one column.
- The names of first main headings (Heading 1) must be in Roman font, capital letters, and font size of 10.
- The names of second main headings (Heading 2) must not include numbers and must be in italics with a font size of 10.

### **Structure and Format of Manuscript**

The recommended size of an original research paper is under 15,000 words and review papers under 7,000 words. Research articles should be less than 10,000 words. Research papers are usually longer than review papers. Review papers are reports of significant research (typically less than 7,000 words, including tables, figures, and references)

A research paper must include:

- a) A title which should be relevant to the theme of the paper.
- b) A summary, known as an abstract (less than 150 words), containing the major results and conclusions.
- c) Up to 10 keywords that precisely identify the paper's subject, purpose, and focus.
- d) An introduction, giving fundamental background objectives.
- e) Resources and techniques with sufficient complete experimental details (wherever possible by reference) to permit repetition, sources of information must be given, and numerical methods must be specified by reference.
- f) Results which should be presented concisely by well-designed tables and figures.
- g) Suitable statistical data should also be given.
- h) All data must have been gathered with attention to numerical detail in the planning stage.

Design has been recognized to be essential to experiments for a considerable time, and the editor has decided that any paper that appears not to have adequate numerical treatments of the data will be returned unrefereed.

- i) Discussion should cover implications and consequences and not just recapitulate the results; conclusions should also be summarized.
- j) There should be brief acknowledgments.
- k) There ought to be references in the conventional format. Global Journals recommends APA format.

Authors should carefully consider the preparation of papers to ensure that they communicate effectively. Papers are much more likely to be accepted if they are carefully designed and laid out, contain few or no errors, are summarizing, and follow instructions. They will also be published with much fewer delays than those that require much technical and editorial correction.

The Editorial Board reserves the right to make literary corrections and suggestions to improve brevity.



## FORMAT STRUCTURE

***It is necessary that authors take care in submitting a manuscript that is written in simple language and adheres to published guidelines.***

All manuscripts submitted to Global Journals should include:

### **Title**

The title page must carry an informative title that reflects the content, a running title (less than 45 characters together with spaces), names of the authors and co-authors, and the place(s) where the work was carried out.

### **Author details**

The full postal address of any related author(s) must be specified.

### **Abstract**

The abstract is the foundation of the research paper. It should be clear and concise and must contain the objective of the paper and inferences drawn. It is advised to not include big mathematical equations or complicated jargon.

Many researchers searching for information online will use search engines such as Google, Yahoo or others. By optimizing your paper for search engines, you will amplify the chance of someone finding it. In turn, this will make it more likely to be viewed and cited in further works. Global Journals has compiled these guidelines to facilitate you to maximize the web-friendliness of the most public part of your paper.

### **Keywords**

A major lynchpin of research work for the writing of research papers is the keyword search, which one will employ to find both library and internet resources. Up to eleven keywords or very brief phrases have to be given to help data retrieval, mining, and indexing.

One must be persistent and creative in using keywords. An effective keyword search requires a strategy: planning of a list of possible keywords and phrases to try.

Choice of the main keywords is the first tool of writing a research paper. Research paper writing is an art. Keyword search should be as strategic as possible.

One should start brainstorming lists of potential keywords before even beginning searching. Think about the most important concepts related to research work. Ask, "What words would a source have to include to be truly valuable in a research paper?" Then consider synonyms for the important words.

It may take the discovery of only one important paper to steer in the right keyword direction because, in most databases, the keywords under which a research paper is abstracted are listed with the paper.

### **Numerical Methods**

Numerical methods used should be transparent and, where appropriate, supported by references.

### **Abbreviations**

Authors must list all the abbreviations used in the paper at the end of the paper or in a separate table before using them.

### **Formulas and equations**

Authors are advised to submit any mathematical equation using either MathJax, KaTeX, or LaTeX, or in a very high-quality image.

### **Tables, Figures, and Figure Legends**

Tables: Tables should be cautiously designed, uncrowned, and include only essential data. Each must have an Arabic number, e.g., Table 4, a self-explanatory caption, and be on a separate sheet. Authors must submit tables in an editable format and not as images. References to these tables (if any) must be mentioned accurately.



## Figures

Figures are supposed to be submitted as separate files. Always include a citation in the text for each figure using Arabic numbers, e.g., Fig. 4. Artwork must be submitted online in vector electronic form or by emailing it.

## PREPARATION OF ELECTRONIC FIGURES FOR PUBLICATION

Although low-quality images are sufficient for review purposes, print publication requires high-quality images to prevent the final product being blurred or fuzzy. Submit (possibly by e-mail) EPS (line art) or TIFF (halftone/ photographs) files only. MS PowerPoint and Word Graphics are unsuitable for printed pictures. Avoid using pixel-oriented software. Scans (TIFF only) should have a resolution of at least 350 dpi (halftone) or 700 to 1100 dpi (line drawings). Please give the data for figures in black and white or submit a Color Work Agreement form. EPS files must be saved with fonts embedded (and with a TIFF preview, if possible).

For scanned images, the scanning resolution at final image size ought to be as follows to ensure good reproduction: line art: >650 dpi; halftones (including gel photographs): >350 dpi; figures containing both halftone and line images: >650 dpi.

Color charges: Authors are advised to pay the full cost for the reproduction of their color artwork. Hence, please note that if there is color artwork in your manuscript when it is accepted for publication, we would require you to complete and return a Color Work Agreement form before your paper can be published. Also, you can email your editor to remove the color fee after acceptance of the paper.

## TIPS FOR WRITING A GOOD QUALITY SOCIAL SCIENCE RESEARCH PAPER

Techniques for writing a good quality human social science research paper:

**1. Choosing the topic:** In most cases, the topic is selected by the interests of the author, but it can also be suggested by the guides. You can have several topics, and then judge which you are most comfortable with. This may be done by asking several questions of yourself, like "Will I be able to carry out a search in this area? Will I find all necessary resources to accomplish the search? Will I be able to find all information in this field area?" If the answer to this type of question is "yes," then you ought to choose that topic. In most cases, you may have to conduct surveys and visit several places. Also, you might have to do a lot of work to find all the rises and falls of the various data on that subject. Sometimes, detailed information plays a vital role, instead of short information. Evaluators are human: The first thing to remember is that evaluators are also human beings. They are not only meant for rejecting a paper. They are here to evaluate your paper. So present your best aspect.

**2. Think like evaluators:** If you are in confusion or getting demotivated because your paper may not be accepted by the evaluators, then think, and try to evaluate your paper like an evaluator. Try to understand what an evaluator wants in your research paper, and you will automatically have your answer. Make blueprints of paper: The outline is the plan or framework that will help you to arrange your thoughts. It will make your paper logical. But remember that all points of your outline must be related to the topic you have chosen.

**3. Ask your guides:** If you are having any difficulty with your research, then do not hesitate to share your difficulty with your guide (if you have one). They will surely help you out and resolve your doubts. If you can't clarify what exactly you require for your work, then ask your supervisor to help you with an alternative. He or she might also provide you with a list of essential readings.

**4. Use of computer is recommended:** As you are doing research in the field of human social science then this point is quite obvious. Use right software: Always use good quality software packages. If you are not capable of judging good software, then you can lose the quality of your paper unknowingly. There are various programs available to help you which you can get through the internet.

**5. Use the internet for help:** An excellent start for your paper is using Google. It is a wondrous search engine, where you can have your doubts resolved. You may also read some answers for the frequent question of how to write your research paper or find a model research paper. You can download books from the internet. If you have all the required books, place importance on reading, selecting, and analyzing the specified information. Then sketch out your research paper. Use big pictures: You may use encyclopedias like Wikipedia to get pictures with the best resolution. At Global Journals, you should strictly follow [here](#).



**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.

**9. Produce good diagrams of your own:** Always try to include good charts or diagrams in your paper to improve quality. Using several unnecessary diagrams will degrade the quality of your paper by creating a hodgepodge. So always try to include diagrams which were made by you to improve the readability of your paper. Use of direct quotes: When you do research relevant to literature, history, or current affairs, then use of quotes becomes essential, but if the study is relevant to science, use of quotes is not preferable.

**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 grown 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 material 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.*

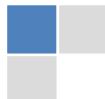
- Fundamental goal.
- To-the-point depiction of the research.
- Consequences, including definite statistics—if the consequences are quantitative in nature, account for this; results of any numerical analysis should be reported. Significant conclusions or questions that emerge from the research.

#### **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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*Written material:* You may discuss this with your guides and key sources. Do not copy anyone else's paper, even if this is only imitation, otherwise it will be rejected on the grounds of plagiarism, which is illegal. Various methods to avoid plagiarism are strictly applied by us to every paper, and, if found guilty, you may be blacklisted, which could affect your career adversely. To guard yourself and others from possible illegal use, please do not permit anyone to use or even read your paper and file.



**CRITERION FOR GRADING A RESEARCH PAPER (COMPILED)  
BY GLOBAL JOURNALS**

**Please note that following table is only a Grading of "Paper Compilation" and not on "Performed/Stated Research" whose grading solely depends on Individual Assigned Peer Reviewer and Editorial Board Member. These can be available only on request and after decision of Paper. This report will be the property of Global Journals**

Topics	Grades		
	A-B	C-D	E-F
<i>Abstract</i>	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
	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
<i>Introduction</i>	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
	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
<i>Methods and Procedures</i>	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
	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring
<i>Result</i>	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
	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
<i>Discussion</i>	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
	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring
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