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Highlights

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The Influence of the Development of Emotional Skills in the Performance of Special Operations Troops in Stressful Situations

By Lorival de Souza Lima Júnior

Abstract- This study focuses on the influence of emotional skills development on the performance of special operations forces, specifically within the context of the Special Forces Course in Brazil. The research aims to fill a knowledge gap by exploring how enhancing these skills can positively impact coping with stressful situations in high-risk operational environments. The central problem involves understanding how modifying military training methods can assist fighters in dealing with stressful situations. The hypothesis suggests that improving the psychosocial aspect of military training can result in significant benefits. The study adopts a mixed-methods approach, combining numerical data and analysis of open-ended responses. It employs an experimental design with characteristics of action research, implementing planned interventions to analyze the results. The research is longitudinal, with data collection at the beginning and throughout the Special Forces Course, involving 30 students stratified from the Commando Actions Course. Results are analyzed in four main areas: personal planning, mindfulness, emotional intelligence, and interpersonal relationships. Personal planning shows an overall improvement of 3.4%, emphasizing precise decision-making, problem prevention, and time optimization.

Keywords: *emotional skills; military performance; meditative practices; special forces course.*

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THE INFLUENCE OF THE DEVELOPMENT OF EMOTIONAL SKILLS IN THE PERFORMANCE OF SPECIAL OPERATIONS TROOPS IN STRESSFUL SITUATIONS

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The Influence of the Development of Emotional Skills in the Performance of Special Operations Troops in Stressful Situations

A Influência do Desenvolvimento de Habilidades Emocionais no Desempenho de Tropas de Operações Especiais Frente a Situações Estressoras

Lorival de Souza Lima Júnior

Resumo- Este estudo se concentra na influência do desenvolvimento de habilidades emocionais no desempenho das tropas de operações especiais, especificamente no contexto do Curso de Forças Especiais no Brasil. A pesquisa visa preencher uma lacuna de conhecimento, explorando como o aprimoramento dessas habilidades pode impactar positivamente o enfrentamento de situações estressoras em ambientes operacionais de alto risco. O problema central consiste em entender como modificar o método de formação militar pode auxiliar os combatentes no enfrentamento de situações estressoras. A hipótese sugere que melhorar o aspecto psicossocial da formação militar pode resultar em benefícios significativos. O estudo adota uma abordagem mista, combinando dados numéricos e análise de respostas abertas. Utiliza um delineamento experimental com características de investigação ação, implementando intervenções planejadas para analisar os resultados. A pesquisa é de corte longitudinal, com coletas de dados no início e ao longo do Curso de Forças Especiais, envolvendo 30 alunos estratificados a partir do Curso de Ações de Comandos. Os resultados são analisados em quatro áreas principais: planejamento pessoal, atenção plena, inteligência emocional e relações interpessoais. O planejamento pessoal mostra uma melhora global de 3,4%, enfatizando decisões precisas, prevenção de problemas e otimização do tempo. A atenção plena apresenta o maior aumento percebido, com 12,2%, destacando práticas que reduzem o estresse e pensamentos desadaptativos. A inteligência emocional registra um aumento de 9,8%, indicando desenvolvimento de características individuais e sociais. As relações interpessoais demonstram um aumento de 6,8%, com melhorias na recepção da informação e na paciência. O Questionário de Avaliação das Práticas Desenvolvidas revela dados valiosos. As práticas meditativas, mencionadas 24 vezes, destacam-se, com ênfase na visualização e no controle da respiração. Benefícios incluem manutenção do foco, aumento da concentração e redução da ansiedade. Em conclusão, o estudo destaca a importância do desenvolvimento de habilidades emocionais em contextos militares de alto risco. Sugerindo que as práticas meditativas desempenham um papel crucial, a pesquisa contribui para a compreensão da influência dessas habilidades no desempenho em situações estressoras. Além disso, oferece insights práticos para aprimorar a formação militar, destacando a eficácia dessas práticas. Os resultados

não apenas beneficiam as Forças Especiais, mas também têm implicações mais amplas em ambientes operacionais de alto estresse. O desenvolvimento de habilidades emocionais emerge como uma estratégia fundamental para lidar com os desafios específicos enfrentados por tropas de operações especiais em missões críticas. O estudo proporciona uma base sólida para intervenções práticas que podem melhorar o desempenho e a resiliência dos militares diante de situações estressoras.

Palavras-chave: habilidades emocionais; desempenho militar; práticas meditativas; curso de forças especiais; ambiente operacional de alto risco.

Abstract- This study focuses on the influence of emotional skills development on the performance of special operations forces, specifically within the context of the Special Forces Course in Brazil. The research aims to fill a knowledge gap by exploring how enhancing these skills can positively impact coping with stressful situations in high-risk operational environments. The central problem involves understanding how modifying military training methods can assist fighters in dealing with stressful situations. The hypothesis suggests that improving the psychosocial aspect of military training can result in significant benefits. The study adopts a mixed-methods approach, combining numerical data and analysis of open-ended responses. It employs an experimental design with characteristics of action research, implementing planned interventions to analyze the results. The research is longitudinal, with data collection at the beginning and throughout the Special Forces Course, involving 30 students stratified from the Commando Actions Course. Results are analyzed in four main areas: personal planning, mindfulness, emotional intelligence, and interpersonal relationships. Personal planning shows an overall improvement of 3.4%, emphasizing precise decision-making, problem prevention, and time optimization. Mindfulness exhibits the highest perceived increase, at 12.2%, highlighting practices that reduce stress and maladaptive thoughts. Emotional intelligence records a 9.8% increase, indicating the development of individual and social characteristics. Interpersonal relationships demonstrate a 6.8% increase, with improvements in information reception and patience. The Questionnaire on Developed Practices reveals valuable insights. Meditative practices, mentioned 24 times, stand out, with an emphasis on visualization and breath control. Benefits include maintaining focus, increasing concentration, and reducing anxiety. In conclusion, the study underscores the importance of developing emotional skills in high-risk military

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contexts. Suggesting that meditative practices play a crucial role, the research contributes to understanding the influence of these skills on performance in stressful situations. Additionally, it provides practical insights to enhance military training, highlighting the effectiveness of these practices. The results not only benefit Special Forces but also have broader implications in high-stress operational environments. The development of emotional skills emerges as a fundamental strategy for addressing the specific challenges faced by special operations forces in critical missions. The study provides a solid foundation for practical interventions that can improve the performance and resilience of military personnel in stressful situations.

Keywords: *emotional skills; military performance; meditative practices; special forces course.*

I. INTRODUÇÃO

a) Tema/área de pesquisa e contextualização

Este estudo investiga a influência do desenvolvimento de habilidades emocionais no desempenho de tropas de operações especiais diante de situações estressoras, focalizando o Curso de Forças Especiais (CFE) do Exército Brasil (EB). Em um ambiente operacional de alto risco, onde missões de alta precisão são realizadas, a ansiedade e o estresse atingem níveis elevados, tornando essencial compreender o papel dessas habilidades.

b) Problema de pesquisa

A pesquisa preenche uma lacuna ao explorar como o desenvolvimento dessas habilidades é fundamental para o desempenho em cenários desafiadores. Ao abordar a problemática de modificar o método de formação para enfrentar situações estressoras, o estudo oferece informações valiosas que podem impactar positivamente não apenas as Forças Especiais, mas também ambientes operacionais similares.

e) Justificativa

Será possível compreender que o ambiente de alto risco causa elevados níveis de estresse nos profissionais deste meio, influenciando nos resultados individuais e coletivos, chegando até mesmo a causar prejuízo psicológico para o indivíduo. Situações potencialmente estressoras estão inseridas na rotina do pessoal operacional de alto risco, não podem ser evitadas, então o que pode ser feito para preservar a segurança emocional do combatente?

É neste contexto que se situa a problemática que norteia esta pesquisa: Qual modificação pode ser realizada no atual método de formação dos combatentes para auxiliá-los no enfrentamento de situações estressoras? E a hipótese apresentada a este questionamento é a melhoria do processo de formação militar no que condiz ao aspecto psicossociais.

c) Objetivo geral

O objetivo geral consiste em avaliar a influência do aperfeiçoamento de habilidades emocionais no desempenho individual e coletivo dos alunos no enfrentamento de situações estressoras durante o Curso de Forças Especiais.

d) Objetivos específicos

Os objetivos específicos são:

- Avaliar a influência do desenvolvimento de habilidades emocionais no desempenho dos alunos do CFE do Exército Brasileiro frente a situações estressoras;
- Identificar os benefícios gerais resultados do processo de intervenção;
- Apresentar uma proposta de intervenção baseada nos ensinamentos colhidos ao longo da pesquisa.

Tabela 1.1: Relação entre Tema, pergunta de pesquisa, objetivo geral e objetivo específico.

<i>Tema:</i> A Importância das Habilidades Emocionais no Desempenho de Tropas de Operações Especiais em Situações Estressoras				
<i>Pergunta de pesquisa:</i> Qual modificação pode ser realizada no atual método de formação dos combatentes para auxiliá-los no enfrentamento de situações estressoras?				
<i>Objetivo geral:</i> avaliar a influência do aperfeiçoamento de habilidades emocionais no desempenho individual e coletivo dos alunos no enfrentamento de situações estressoras durante o Curso de Forças Especiais				
Objetivos específicos 1	Objetivos específicos 2	Objetivos específicos 3	Objetivos específicos 4	Objetivos específicos 5
Avaliar a influência do	Identificar os benefícios	Apresentar uma proposta	-	-

desenvolvimento de habilidades emocionais no desempenho dos alunos do CFE do EB frente a situações estressoras.	gerais resultados do processo de intervenção.	de intervenção baseada nos ensinamentos colhidos ao longo da pesquisa.		
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O propósito fundamental desta pesquisa é investigar de que maneira o desenvolvimento de habilidades emocionais pode influenciar o desempenho das tropas de operações especiais em situações estressoras. Este estudo possui uma relevância notável para a ciência, pois visa aprofundar a compreensão da interação entre fatores emocionais e o desempenho em contextos militares desafiadores.

Além disso, a pesquisa busca esclarecer aspectos até então obscuros, proporcionando uma visão mais clara sobre como as habilidades emocionais impactam as operações especiais. A intenção é complementar estudos anteriores, enriquecendo o conhecimento existente e fornecendo uma base mais sólida para futuras investigações.

No que diz respeito à contribuição para a solução de problemas, destaca-se o estudo de caso realizado com uma amostra representativa de 30 alunos do Curso de Forças Especiais do Exército Brasileiro, no ano de 2023. Essa amostra foi selecionada de maneira probabilística estratificada, considerando que apenas militares concluintes do Curso de Ações de Comandos (CAC) podiam candidatar-se ao Curso de Forças Especiais.

As características sociodemográficas da população estudada incluem oficiais e sargentos do Exército, do sexo masculino, com uma idade média de trinta anos, possuindo ensino superior e formação acadêmica militar. Esta população específica refere-se a equipes operacionais de alto rendimento, com ênfase em operações especiais de alto risco.

A inclusão desse estudo de caso amplia a aplicabilidade prática da pesquisa, fornecendo dados específicos sobre a influência das habilidades emocionais em uma população militar altamente especializada. Dessa forma, a pesquisa não apenas contribui para o conhecimento teórico, mas também oferece informações valiosas para o desenvolvimento de estratégias de treinamento e suporte emocional, direcionadas a esse grupo específico de profissionais.

Ao abordar as implicações práticas, a pesquisa pretende contribuir para a solução de problemas reais, oferecendo orientações mais precisas e adaptadas às necessidades das tropas de operações especiais, em consonância com as características específicas da amostra estudada. Compreender a influência das habilidades emocionais nesse contexto específico é crucial para o aprimoramento das práticas de treinamento e suporte emocional, proporcionando

benefícios tangíveis no desempenho operacional dessas equipes. A originalidade do estudo, portanto, não apenas reside na sua abordagem específica à psicologia militar, mas também na sua capacidade de fornecer conhecimentos diretos e aplicáveis para resolver desafios concretos enfrentados por essas tropas especializadas.

f) *Resultados esperados*

Almeja-se demonstrar os resultados esperados fornecer uma base sólida para a adaptação e otimização das práticas de treinamento, contribuindo diretamente para a eficácia do processo de formação militar, especialmente no âmbito psicossocial das tropas de operações especiais.

g) *Estrutura da dissertação*

O estudo encontra-se estruturado em 6 capítulos. O Capítulo 1 introduz o contexto e a relevância da pesquisa, destacando a problemática no desempenho de tropas de operações especiais em ambientes de alto risco, com ênfase no Curso de Forças Especiais do Brasil.

No Capítulo 2, o Marco Teórico explora estudos passados, contextualiza o ambiente operacional de alto risco e apresenta recursos para habilidades emocionais, como autoconhecimento e atenção plena. Ademais, destaca a importância da percepção do ambiente de trabalho, considerando fatores como fadiga e estresse. Explorando estudos históricos sobre o impacto do estresse no desempenho militar, o estudo visa avaliar a influência do desenvolvimento de habilidades emocionais durante o Curso de Forças Especiais.

A Metodologia, no Capítulo 3, detalha o desenho da pesquisa, população/amostra, variáveis, instrumentos e procedimentos adotados. A pesquisa adota uma abordagem mista, combinando dados numéricos e análise de respostas abertas, com um delineamento experimental de investigação ação. Utilizando um corte longitudinal, a coleta de dados ocorre no início e ao longo do Curso de Forças Especiais, envolvendo uma amostra estratificada de 30 alunos. Os procedimentos incluem intervenções planejadas e a aplicação de instrumentos avaliativos.

Os Resultados obtidos através do estudo de caso, apresentados no Capítulo 4, foram analisados em quatro áreas principais, como planejamento pessoal, atenção plena, inteligência emocional e relações interpessoais, indicam melhorias consistentes nas



habilidades emocionais dos participantes. Destacam-se ganhos significativos na consciência do pensamento, características emocionais individuais e interpessoais, evidenciando a eficácia do desenvolvimento dessas habilidades.

O Capítulo 5, Discussão, relaciona os resultados com o referencial teórico, buscando compreender as conexões entre habilidades emocionais e o desempenho em ambientes de alto risco, ressaltando a importância dessas práticas, permeando outras habilidades como autocontrole e observação das emoções. A ênfase nas práticas meditativas, como visualização e controle da respiração, destaca-se como o comportamento mais ampliado e mais usado.

Por fim, a Conclusão, no Capítulo 6, sintetiza as descobertas e destaca implicações para a formação militar nesse contexto.

II. MARCO TEÓRICO

A área de conhecimento que explora a relação existente entre o indivíduo, o grupo e a estrutura da organização, é chamada de Comportamento Organizacional. Esta ciência procura identificar quais implicações os estímulos ambientais provocam no sujeito e os reflexos em seu comportamento. Os estudos nesta área de conhecimento têm o propósito de aprimorar e melhorar essa relação e seus resultados (Robbins, 2005).

Com isso nota-se que a percepção do profissional em relação ao seu ambiente de trabalho tem relação com a produtividade. Essa percepção do meio, envolve o enfrentamento de estímulos ansiogênicos de forma mais adaptativa. Adaptar-se melhor ao meio inclui superar e ressignificar frustrações e situações complexas, retomando a rotina mais rapidamente.

A fadiga e o estresse são problemas enfrentados por muitos profissionais em seu ambiente de trabalho. Ao observar de forma mais específica o meio ao qual está submetido o militar em situação de combate, é possível entender que a fadiga pode ocorrer devido ao excesso de trabalho físico ou mental, falta de sono, falta de nutrição e longos períodos sem descanso adequado. Já o estresse pode ser causado por situações extremas de perigo, pressão psicológica, medo, incerteza e separação da família.

Porém o estresse nem sempre causa efeitos ruins, existem respostas ao estresse de combate que produzem efeitos benéficos. A exposição de uma equipe em combate pode produzir coesão, lealdade aos pares e a líderes, identificação com a equipe ou a unidade, senso de utilidade, senso de missão, fé, atos heroicos de coragem, resistência e permanência em ação, tolerância aumentada entre outros fatores (U.S. Department of the Army, 1994a).

a) O ambiente operacional de alto risco

Realizar missões de alto risco e alta precisão envolve demandas não convencionais e fora do padrão. O ambiente operacional de alto risco se retrata a lugares desconhecidos ou hostis, em diferentes contextos culturais. São apresentados muitos fatores incontrolláveis em que o sucesso da missão está no alto desempenho individual e no esforço conjunto de evitar o fracasso, que muitas vezes têm grande chance de acontecer (Picano & Willians, 2009).

i. Os estudos no último século

Se os estudos realizados no último século sobre como o nível de estresse influenciou na eficiência e na permanência do militar no combate forem acompanhados, será possível entender a situação de vulnerabilidade na qual é colocado o profissional e o quanto isso pode comprometer os resultados do combate.

Na Primeira Guerra Mundial (1GM) houve um grande esforço das Forças Armadas Norte Americanas em utilizar psicólogos na avaliação e seleção de recrutas para o serviço militar. Em abril de 1917, o presidente da Associação Psicológica Americana (APA), Robert Yerkes, recebeu determinação do governo de convocar um grupo de psicólogos para ajudar no esforço de guerra, entre eles estavam James McKeen Cattell, G. Stanley Hall, Edward L. Thorndike e John B. Watson. Foram criados diversos Comitês, entre eles o de seleção de homens para realização de tarefas que exigiam habilidades especiais (Yerkes, 1917).

Em janeiro de 1918 foi criada a Divisão de Psicologia com 132 oficiais comissionados. Seu esforço resultou na criação de testes voltados para a seleção de recrutas. Destacam-se a Escala Wechsler-Bellevue, precursora da Escala de Inteligência de Wechsler e o Teste de Personalidade de Woodworth, o qual foi modelo e partida para outras estimativas de personalidade (Page, 1996).

O sucesso da aplicação dos testes psicológicos em grupos na 1GM, despertou o interesse de organizações como escolas e universidades. Também houve interesse da área privada em procurar ajuda de psicólogos para questões como rotatividade de empregados, ausência ao trabalho e como uma forma de criar eficiência industrial (Kennedy & Zillmer, 2009).

Houve grande avanço no trabalho de avaliação e seleção, além deste momento, não era feito um acompanhamento, gerando um resultado de 40% de baixas prematuras atribuídas a "fadiga de combate" na 1ª GM (Neil, 1993). Isso solidificou o entendimento da necessidade da intervenção durante as operações, na prevenção e no acolhimento, além de evidenciar o peso psicológico do combate (U. S. Department Of The Army, 1948b).

Como o pensamento da época era que a seleção resolveria esse problema, excluindo os propensos a desenvolverem os sintomas da “fadiga de combate”, não foram implementadas as lições aprendidas na 1GM, sendo a porcentagem de evacuados com esses sintomas na Segunda Guerra Mundial (2GM), de 26% (Borne, 1970). Nos anos subsequentes poucos esforços foram feitos nesse sentido.

Através de entrevista a 50 psiquiatras que serviram no Vietnã, foi levantado que 39,6 % das evacuações foram por problemas psicológicos, concluíram que 12,6% por estresse de combate e 27% por uso de substâncias, que tem seu uso associado a sintomas de estresse (Camp & Carney, 1987).

A ocorrência de casos de estresse de combate teve relevância cada vez maior com a incidência da guerra urbana. Na Guerra dos Seis Dias Árabe-Israelita, as Forças de Defesa de Israel tiveram 30% de seu efetivo evacuado com sintomas de estresse de combate (Belenky et al, 1985).

Hoje o Departamento de Defesa dos EUA utiliza o termo Reações de Estresse de Combate (CSRs) para a descrição dos sintomas e define como “reações esperadas, previsíveis, emocionais, intelectuais, físicas e/ou comportamentais de militares que tenham sido expostos a eventos estressantes em combate ou operações militares diferentes da guerra” (Diretriz DoD 6490.5, 1999, p.8). O mesmo Departamento estabelece através do Manual de Campanha FM 8-51 Controle de Estresse de Combate que o foco deve ser dado, principalmente, à prevenção e o tratamento no caso de incapacidade induzida por CSRs em soldados.

ii. *Pessoal operacional de alto risco*

Com as experiências apresentadas a seguir será possível concluir que o efetivo adequado para esse tipo de trabalho, possuem competências identificáveis e comuns. O que diferencia algumas equipes são as condições particulares, que demandarão competências adicionais para a adaptação. De toda forma, existe um cerne que representa a estrutura necessária para o sucesso, sendo sua avaliação essencial para qualquer função considerada (Kennedy & Zimmer, 2009).

Uma das primeiras produções de dados nesta área foi em pilotos da aviação, nos Estados Unidos da América (EUA). Durante a Primeira Guerra Mundial, com o objetivo de selecionar candidatos mais aptos a concluir o curso e treinamentos para pilotos, evitando acidentes aéreos (Driskell & Olmstead, 1989). As conclusões tiradas deste estudo foram que os melhores candidatos possuíam elevados níveis de inteligência, vivacidade mental, boa percepção de inclinação e estabilidade emocional (baixos níveis de excitabilidade) (Koonce, 1984).

Através de uma análise de critérios para seleção de astronautas da NASA para o Projeto Mercury, Santy et al (1991), levantaram que qualidades como inteligência, determinação, independência, adaptabilidade, flexibilidade, motivação, estabilidade emocional e falta de impulsividade eram fatores críticos para o bom desempenho da função.

Pesquisas mais recentes envolvendo as Forças Especiais dos EUA, identificaram através de análise de cargos, competências que preveem desempenho efetivo no trabalho. Neste levantamento, um grupo de psicólogos e veteranos das Forças Especiais examinaram um amplo banco de dados e reuniram 30 competências, que foram amplamente agrupados em quatro grupos, sendo eles cognitiva, comunicativa, interpessoais e física.

As competências cognitivas incluem julgamento e tomada de decisão, planejamento e adaptabilidade, habilidades cognitivas específicas. As competências comunicativas envolvem habilidades verbais, não verbais e linguísticas, descritas pelo aprendizado de novas línguas rapidamente. As competências interpessoais envolvem autonomia, comportamentos motivadores, diplomacia, estabilidade emocional (maturidade) e cooperação. Por fim as competências físicas, descritas como força e resistência (Kilcullen et al, 1999).

Estudos desenvolvidos por Hartmann et al (2003) com as Forças Especiais Navais Norueguesas (FEN), procurando características que fossem indicadores de êxito nos treinamentos para o ingresso nas FEN, descrevem em seu artigo:

[...] o aspirante fuzileiro ideal foi caracterizado como uma pessoa muito talentosa, expressando controle emocional acima da média, noções de realidade e tolerância para o estresse. Ele tem vigor, consegue admitir conhecimentos teóricos e habilidades práticas rapidamente, relaciona-se bem com as pessoas, gerencia o estresse e ambiguidade com sucesso, chega a conclusões razoáveis e demonstra comportamento direcionado para o objetivo [...]

Em um programa atual de avaliação e seleção da Força Aérea dos EUA (Picano & Williams, 2009), em conjunto com pessoal experiente dos serviços especiais da Força Aérea ocupando posições de liderança organizacional, levantaram competências críticas para o pessoal de alta precisão operacional. Foram identificadas onze competências de grande relevância, sendo elas: estabilidade emocional e tolerância ao estresse; motivação e comprometimento; inteligência efetiva e resolução de problemas; integridade; atitude e interação com os outros; confiança; habilidades físicas; autoconhecimento e maturidade; flexibilidade; impacto positivo da família; e ética no trabalho.

Dois estudos realizados nas Forças Especiais Sul Africanas relataram que devido à vivência de



situação particular de desafios e de estresse, eram necessárias habilidades específicas para um *enfrentamento funcional*. As competências essenciais aos soldados de diversas posições e diferente tempo de experiência, envolviam o autoconceito, a personalidade, os interesses, os fatores cognitivos e físicos, a integridade, a sensação de controle da situação, a perseverança, a motivação e o trabalho em equipe (Rawoot et al, 2017, Beer & Heerden, 2014).

No curso de formação dos Navy SEALs (forças especiais da Marinha dos EUA), foi identificado que aqueles que reconheciam os benefícios do estresse, conseguiam lidar com as falhas e aprendiam com a experiência no ambiente simulado, aumentavam a potência para o sucesso no ambiente real. Demonstrando que o desempenho frente as situações estressoras depende das habilidades emocionais do militar, as quais podem ser aprimoradas em treinamentos (Smith et al, 2020).

Com essa amostra, é possível perceber que de fato existem competências comuns para o desempenho bem-sucedido em funções de alta exigência operacional. Na área de domínio cognitivo a competência que aparece é a adaptabilidade. Destaca-se também a cooperação, descrita como 'habilidades de trabalhar em grupo'. Nas amostras também são realçadas forma física e vigor. Todos os relatos enfatizam estabilidade emocional e excepcional tolerância ao estresse como determinantes para o êxito.

iii. *Problemática que norteia a pesquisa*

Com o que foi apresentado até o momento, é possível compreender que o ambiente de alto risco causa elevados níveis de estresse nos profissionais deste meio, influenciando nos resultados individuais e coletivos, chegando até mesmo a causar prejuízo psicológico para o indivíduo. Situações potencialmente estressoras estão inseridas na rotina do pessoal operacional de alto risco, não podem ser evitadas, então o que pode ser feito para preservar a segurança emocional do combatente?

É neste contexto que se situa a problemática que norteia esta pesquisa: Qual modificação pode ser realizada no atual método de formação dos combatentes para auxiliá-los no enfrentamento de situações estressoras? E a hipótese apresentada a este questionamento é a melhoria do processo de formação militar no que condiz ao aspecto psicossociais.

Sendo assim, para responder ao questionamento proposto e verificar a confirmação da hipótese levantada, este estudo foi guiado pelo objetivo geral de avaliar a influência do aperfeiçoamento de habilidades emocionais no desempenho individual e coletivo dos alunos e no enfrentamento de situações estressoras durante o Curso de Forças Especiais.

Portanto, considerando os fatos apresentados e a problemática que norteia esta pesquisa, entende-se

que é importante que as Forças Especiais ofereçam programas de treinamento que incluam habilidades emocionais para ajudar tanto os alunos do Curso de Forças Especiais quanto outros profissionais de operações especiais a lidar com situações estressantes.

Dessa forma essa pesquisa tem o propósito de avaliar a influência do desenvolvimento de habilidades emocionais no desempenho dos alunos do CFE do Exército Brasileiro frente a situações estressoras. Pretende-se também ao longo do trabalho identificar os benefícios gerados, resultado do processo de intervenção e, ao final, apresentar uma proposta de intervenção baseada nos ensinamentos colhidos ao longo da pesquisa.

Assim, este estudo poderá contribuir e se tornar de grande relevância para a instituição em que a pesquisa se desenvolve. Havendo possibilidade deste processo de intervenção ser disponibilizado e empregado, em outros estabelecimentos militares que possam se beneficiar com os resultados alcançados.

Foi identificado ao observar os resultados da pesquisa publicada na CNN Brasil em julho de 2022 que 48,59% das pessoas que haviam realizado exame no primeiro semestre daquele ano, apresentaram níveis de estresse alterados e 34,26% estavam hipertensos (Braga et al, 2022). Este dado demonstra a importância dos cuidados que devem ser tomados para identificar e prevenir a incidência de casos de estresse para toda a população.

O estresse gerado pela rotina de trabalho das pessoas no dia a dia, apresenta causas diferentes do "estresse de combate". Estas diferentes causas, acionam o mesmo mecanismo neurológico, o sistema límbico. A partir deste ponto as intervenções são comuns, sendo assim, o assunto também é de interesse para o público em geral, podendo em um segundo momento, ser disponibilizado para o público interessado.

iv. *Curso de Forças Especiais do Brasil*

Um curso de combate tem por objetivo simular, através da inserção de estímulos ansiogênicos e estressores, o que será enfrentado pelo militar no ambiente real. Aprender como seu corpo se comporta e como ocorrem suas reações emocionais em resposta ao ambiente com condições extremas, como frio e calor intenso, fome, sede, transporte de equipamentos pesados, realização de marchas e travessias em meio aquático por longas distâncias, prepara o indivíduo para condições semelhantes no ambiente de combate.

A porta de entrada para as Operações Especiais no Exército Brasileiro é o Curso de Ações de Comandos, realizado no Centro de Instrução de Operações Especiais (CIOpEsp). De maneira geral, o Curso se constitui de doze semanas, onde o aluno é levado a atuar em diferentes ambientes operacionais (selva, montanha, caatinga, pantanal e ambiente

urbano). Seu alto grau de dificuldade leva ao final do curso um reduzido efetivo.

A conclusão do CAC é pré-requisito para realização do Curso de Forças Especiais (CFE), conduzido também no CIOpEsp, (outro Curso necessário é o Básico Paraquedista, realizado no Centro de Instrução Paraquedista General Penha Brasil, no Rio de Janeiro). Tendo em vista, o CFE já trabalhar com candidatos selecionados, o aproveitamento dos alunos é alto, mesmo sendo difíceis as condições de execução deste Curso.

O CFE tem um total de vinte quatro semanas, divididas em duas fases. Na primeira fase, os assuntos envolvem técnicas especiais, adquiridas em diferentes locais, de interesse específico, para cada função do Destacamento. É nesta fase que os Sargentos se formam Especialistas, sendo as quatro especialidades (demolições, armamento, comunicações e saúde). Enquanto isso os oficiais aprimoram seu conhecimento estratégico operacional.

Já na segunda fase, são conduzidas operações de maior envergadura. Envolvendo três momentos: a capacitação e avaliação do aluno; o recebimento da missão e planejamento da operação; e a execução. Além da dificuldade natural exigida, durante a semana de planejamento uma série de novas situações que implicam mudança, são inseridas no contexto, demandando uma série de reformulações e retrabalho, o que por vezes abala o psicológico do aluno. Mas este, fica condicionado a isso, ele sabe que a qualquer momento a situação pode mudar e evoluir. São três meses de operações.

Quando o militar conclui o CFE, ele está apto a operar nos Destacamentos Operacionais de Forças Especiais (DOFEsp), constituído por quatro oficiais e oito sargentos especialistas. O nível de envolvimento e entendimento entre os membros se torna fundamental. Cada militar tem suas responsabilidades que influenciam nos próprios resultados, no dos outros e no do grupo. Com isso as características de uma equipe começam a surgir e conforme Cunha (1986) nos traz o conceito de equipe como um conjunto de pessoas, atuando de maneira sinérgica, em prol de um objetivo mútuo e, de maneira intrínseca.

b) *Recurso para Habilidades Emocionais*

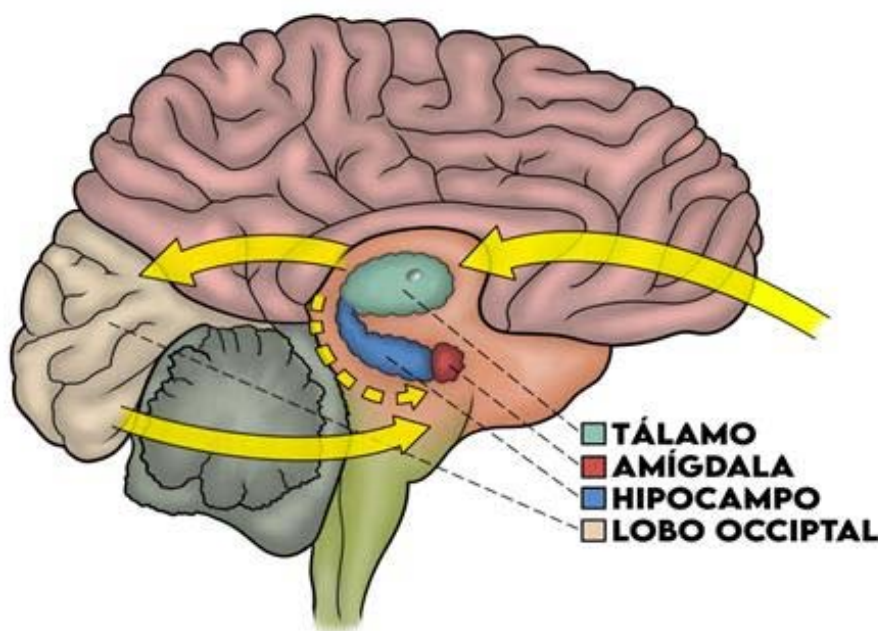
Antes de um aprofundamento nos recursos a serem empregados para o desenvolvimento de habilidade emocionais, é necessário um esclarecimento sobre o que é emoção e como é o funcionamento do mecanismo que controla as emoções, o Sistema Límbico. Este é uma herança genética, exclusiva dos mamíferos. Nossos ancestrais estavam inseridos em uma cadeia alimentar, tinham presas e predadores, dessa forma tanto para a caça quanto para a fuga esse mecanismo era acionado.

A definição dada por Nogueira (2011) de emoção é “um estado afetivo intenso, momentâneo, involuntário e de início repentino, decorrente de uma reação psíquica e somática frente a um estímulo interno ou externo, necessário para a sobrevivência”. A partir deste entendimento é possível entender que estímulos que podem vir do próprio organismo ou que podem vir do ambiente. Sendo este último caso o de nossa observação.

Em se tratando do Sistema Límbico, em uma situação de emergência seu acionamento é necessário. Ele também responde por comportamentos instintivos e pelos impulsos básicos. Esse dispositivo integra funções superiores e o tronco encefálico, conectando o pensamento ao comportamento. O tálamo é uma de suas estruturas e realiza o processamento de duas fontes, sendo uma delas os receptores situados nas vísceras (viscerais) e de os estímulos que vem de nossos sentidos (sensoriais) (Franco, 2010 & Papez, 2010), captados no ambiente.

Sendo, o estímulo, uma vez recebida pelo tálamo, um fluxo rápido e sem filtro da informação é transmitido a amígdala, que busca identificar se existe algum tipo de ameaça, para uma ação de resposta rápida, desencadeando reações emocionais e comportamentais imediatas e vigorosas. De forma simultânea, um fluxo maior da informação é enviado ao córtex pré-frontal, onde a informação é processada e mais bem avaliada. No caso de um estímulo visual, ele é enviado para o lobo occipital (figura 1). Em seguida, uma comunicação mais precisa é feita novamente a amígdala (LeDoux, 1986a, 1991b, 1992c).





Fonte: Elaborado pelo autor

Figura 1: Cerebro

Quando eventos ou circunstâncias antecipadas são consideradas altamente aversivas porque são percebidas como eventos imprevisíveis, incontrolláveis que poderiam potencialmente ameaçar os interesses vitais de um indivíduo, é ativado um sistema de resposta cognitiva, afetiva, fisiológica e comportamental complexo, conhecido como ansiedade (Beck & Clark, 2012, p. 17).

A proposta desenvolve o emprego de 5 (cinco) práticas para o desenvolvimento das capacidades emocionais. Desenvolvendo o autoconhecimento, praticando a atenção plena, imaginando as ações a serem realizadas de forma planilhada (treinamento mental), estabelecendo metas com planos eficientes para alcançá-las e sabendo relacionar-se adequadamente com outras pessoas (relações interpessoais), o aluno cria possibilidades para ampliar suas capacidades para enfrentar situações ansiogênicas, o que lhe permitirá mais clareza e assertividade em suas decisões, possibilitando melhores resultados.

i. *Autoconhecimento*

A definição encontrada de autoconhecimento segundo o Dicionário Português online é “Conhecimento de si próprio, das suas características, qualidades, imperfeições, sentimentos etc; que caracterizam o indivíduo por si próprio” (Dicio, 2023).

Através do autoconhecimento, é possível olhar para seu mundo interno, compreender suas percepções, reações, pensamentos, sentimentos e comportamentos diante das vivências, em um processo contínuo de reflexões sobre o impacto que o outro ou as situações provocam. A compreensão de como estes

aspectos interferem em sua vida auxilia no enfrentamento de situações adversas e acarreta em mudanças individuais que podem gerar reflexos também no coletivo (Silva, 2019 & Torres, 2008).

Sendo assim, para um melhor enfrentamento emocional de situações estressoras as quais o militar é submetido, o autoconhecimento é imprescindível pois, favorece a clareza das ideias, o equilíbrio do pensamento, a resiliência e a melhora da performance (Maia, 2019). Desta maneira saber intervir no processo ansiogênico é uma capacidade desejável.

Nesse sentido, serão apresentadas aqui procedimentos que podem ser realizados através do canal cognitivo, comportamental, e do canal físico. São conhecidas como treinamento com Inoculação do Estresse (TIS). Essas técnicas permitirão que em momentos de ansiedade sejam desenvolvidos recursos para dominar os próprios sentimentos (Monson, et al, 2016).

A prática do auto diálogo é uma possibilidade no canal cognitivo. A pessoa aprende a se concentrar em seu diálogo interno e é treinada para identificar autodeclarações negativas e irracionais. A seguir, é ensinado a substituir por auto verbalizações mais adaptativas. A correção do pensamento ansioso requer a descoberta de interpretações alternativas mais realistas que substituam avaliações à ameaça exageradas. Quando a pessoa é treinada a confrontar as situações temidas utilizando imagens mentais, visualizando o desfecho favorável, a exposição recebe o nome de *in vitro*, ou *exposição imagética* (Monson et al, 2016, p. 74).

Cruz et al (2020), explica que os benefícios das práticas respiratórias começam na primeira semana com a diminuição do tônus simpático. O ritmo cardíaco é determinado pelo sistema nervoso simpático e parassimpático, sendo os nervos simpáticos responsáveis por aumentarem a frequência cardíaca, enquanto o sistema nervoso parassimpático surge como seu antagonista. Essas práticas estimulam os nervos parassimpáticos, tendo como uma das consequências a redução da frequência cardíaca.

Outra eficiente técnica física é o treino de respiração diafragmática. Estudos concluíram que a prática de respiração diafragmática consciente, diminui a frequência respiratória, aumentando o volume corrente de ar em repouso, sinal de boa adaptação e de uma pessoa saudável. Também são consequências dessa prática a redução dos níveis de ansiedade e a melhora na capacidade cognitiva (Anastácio & Carvalho, 2022).

ii. *Atenção Plena*

Uma prática que favorece a atenção para si é o Mindfulness, o qual possibilita desenvolver habilidades para lidar com diversas situações que são inerentes à vida, sejam elas agradáveis ou não, e sair de uma postura apenas reacional (Germer, 2016).

Elas auxiliam a não agir no automático e sim com consciência de todo o contexto do momento. Tais recursos proporcionam redução dos efeitos nocivos do estresse, de pensamentos desadaptativos, melhoram da resposta imunológica e o sentimento de satisfação com a vida (Cebolla et al, 2014, Germer, 2016 & Marti et al, 2016).

Outro recurso que precede e inicia boa parte das técnicas de meditação é o controle da respiração. Utilizado como ponto de partida e de retorno, após as distrações, para focar ou retornar ao pensamento trabalhado. O controle da respiração, facilita o relaxamento e a concentração auxiliando na capacidade de absorção de oxigênio pelo organismo (Ortega et al, 2014, Ramacharaca, 1977 & West, 2013).

A meditação é o treinamento a nível racional da capacidade de promover mudanças no estado de consciência, trata-se da “busca da alteração voluntária do estado de consciência, utilizando a percepção consciente e a auto-observação” (Menezes et al, 2012). Em outra descrição pode-se encontrar: “meditar é um processo autorregulatório, por meio do qual é desenvolvido o controle dos processos atencionais” (Danucalov & Simões, 2004).

A vivência positiva é um de seus benefícios psíquicos. Ela se desenvolve através da sensação de paz interna e de felicidade. Essa satisfação e ideia de harmonia com o mundo permite menor tendência à perda do controle (Cardoso et al, 2004). A meditação estimula a aquisição de autoconhecimento e ensina a lidar com o mundo de uma forma mais tolerante.

Entre as contribuições fisiológicas e neurológicas promovidas pela meditação, pode-se citar: redução na frequência cardíaca; menos consumo de oxigênio; redução do tempo de disparo do estresse; redução dos hormônios cortisol, aldosterona e noradrenalina. É observado também um aumento nos níveis do neurotransmissor serotonina entre outras (Cardoso et al, 2004).

Vem-se observando um crescente interesse pelas práticas das Medicinas Tradicionais, Complementares e Integrativas (MTCI) por parte dos profissionais de saúde. Cerca de 80% dos tratamentos complementares foram discutidos entre pacientes e médicos (Cardoso et al, 2004).

Para que se tenha um sono saudável a National Institute of Health (NIH) e a American Academy of Sleep Medicine (AASM), dos Estados Unidos, aconselham técnicas de respiração e relaxamento, técnicas de meditação e mindfulness no tratamento da insônia, antes de iniciar o tratamento medicamentoso (Edinger et al, 2021).

Estão incluídos nas diretrizes de tratamento da Sociedade Americana de Câncer (American Cancer Society), que além do tratamento médico oncológico convencional a meditação como forma de se lidar com a doença e suas comorbidades, como ansiedade e depressão (Burke, 2012).

As práticas da atenção plena, demonstram que, através dela, é aprimorada a capacidade de regular as emoções, desenvolver a empatia, reduzir os pensamentos desadaptativos, sendo gerada maior resposta imunológica (Cebolla et al, 2014).

A técnica com enfoques terapêuticos que se baseia em atenção plena conhecida como mindfulness de Jon Kabat-Zinn (1990), é a que possui maior número de trabalhos científicos e que vem sendo cada vez mais incorporada por profissionais de saúde e pela comunidade científica.

Segundo o autor Kabat-Zinn (2003 p.145), mindfulness “é a consciência que emerge ao colocarmos atenção intencional no momento presente, de maneira não julgadora do fluxo da experiência, momento a momento”. Mindfulness também pode ser entendido como estado de atenção plena ou um estado no qual a atenção é focada no momento, no que está acontecendo internamente (ex.: sensações orgânicas, pensamentos, emoções) ou externamente (no ambiente que nos cerca), com aceitação e sem julgamento.

iii. *Imaginação e Treinamento Mental*

O entendimento que se tem sobre o treinamento mental engloba diferentes habilidades mentais como o alcance de metas, o aumento da autoconfiança, o controle da ansiedade, a ampliação da concentração entre outros. (Damarjian & Gould, 2000, Orlick, 2000, Suinn, 1993 & Unestahl, 1989).

Em uma definição mais específica Samulski (2005) descreve que treinamento mental é “a imaginação de forma planejada, repetida e consciente de habilidades motoras, técnicas esportivas e estratégias táticas”. Ou seja, é a realização de uma tarefa sendo planejada mentalmente e executada em forma de imaginação, repetidas vezes.

Essa prática pode trazer benefícios porque através da imaginação, busca-se alcançar o movimento perfeito, executar a atividade da forma mais adequada, inclusive corrigindo possíveis vícios pessoais. Os autores Gould & Weinberg (1999), relatam que “um atleta pode reconstruir, através da imaginação, experiências positivas do passado ou visualizar eventos futuros com o fim de preparar-se mentalmente para a performance”.

No esporte, o treinamento mental é destinado para dois objetivos: para os movimentos e para as situações. Através de habilidades específicas são treinadas para movimentos individuais e as situações envolvem ações táticas e estratégicas inseridas dentro de um contexto específico. As técnicas empregadas para desenvolver ações táticas e estratégicas no esporte, pode ser facilmente modelada para outras atividades (Samulski, 2005).

São necessárias algumas circunstâncias para que se tenha êxito no treinamento mental. A primeira delas é o relaxamento. Pois, somente dessa forma, com a mente livre de pensamentos que o perturbem ou distraiam, é possível trabalhar integralmente a sua concentração. A pessoa já deve ter realizado o movimento ouvido situação para que possa modelar. Uma vez tendo o modelo de excelência, deve-se adaptá-lo a sua realidade e capacidade para que possa realmente alcançá-lo. E por fim a situação deve ser vivida de forma intensa, sentindo, ouvindo, envolvendo-se emocionalmente durante o treinamento mental (Eberspacher, 1995).

Vem sendo comprovado que os resultados são alcançados mais rapidamente quando o executor começa as práticas com a realização do movimento ou situação em forma de “auto conversa” (Eberspacher, 1995). O pensamento pode receber interferências e o foco da atenção pode se dispersar mais facilmente para pessoas menos treinadas. Essa iniciação é otimizada com a “auto conversação”.

Assim como em qualquer prática educativa, para aprimorar ou desenvolver uma habilidade é importante a repetição, pois é a maneira de doutrinar o cérebro aos comportamentos desejados como reação imediata a determinadas situações (Silva, 2019).

iv. *Planejamento Estratégico*

O planejamento estratégico engloba determinadas técnicas desenvolvidas inicialmente para serem empregadas em organizações. As pessoas também podem se beneficiar destes recursos

administrativos em benefício próprio, alcançando melhor qualidade e resultado em seu trabalho. Nesse sentido, o planejamento estratégico pessoal revela-se um instrumento determinante de suporte para se atingir equilíbrio, sucesso e realizações (Prado, 2010).

Para Kich & Pereira (2011, p. 16), o Planejamento Estratégico “[...] significa o caminho escolhido, as ações estabelecidas e adequadas para atingir os objetivos”. Carvalho et al (2008, p. 13), destacam que, quando se tem um objetivo pessoal claro, facilita a identificação do sentido e direcionamento de vida. De acordo com Estrada et al (2007, p. 109), o Planejamento Estratégico:

[...]consiste em uma técnica administrativa que procura ordenar as ideias das pessoas, de forma que seja possível criar uma visão do caminho que deve ser seguido (estratégia) e, também, ordenar as ações que serão realizadas através do plano estratégico, permitindo o alcance da visão de futuro.

Martins (2010) afirma que planejar é fazer uma “previsão” (do futuro desejado) e determinar os meios para alcançá-lo. Para algumas pessoas, planejar a própria vida pode parecer um exagero e, para outras, isso é uma necessidade. Planejar “[...] significa elaborar esquema para alcançar algo que se deseja, contrapondo-se à improvisação, que é ação ao acaso” (Estrada et al, 2007, p. 107).

Segundo Martins (2010, p. 4), o planejamento pessoal “implica em profundareflexão pessoal sobre os valores e princípios, pontos diferenciais deficientes e competências especiais adquiridas”. Esta ferramenta permite a visualização sistemática de onde se quer chegar, qual o caminho a seguir e qual o ponto de partida, o que também é importante. Possuir metas e objetivos claros, possibilita melhor organização para colocar em práticas as ações. De acordo com Moritz et al (2012, p. 105), o planejamento visa decisões mais precisas e “ações para a construção de um futuro melhor”.

A priorização das atividades importantes, assim como a redução de urgências e de desperdício de tempo são ações necessárias para que se possa otimizar o emprego do tempo. Para isso é necessária uma reavaliação de como se ocupa o tempo, sendo necessário se considerar três fundamentos: “a) decisão firme de querer exercer o controle efetivo sobre o tempo; b) priorização das atividades por importância; e c) exercício da disciplina, da perseverança, da integridade e de hábitos positivos” (Covey, 1994).

Sua função principal consiste em fazer com que a pessoa desenvolva ações, táticas e estratégias, de forma sistematizada, adequando vida individual e profissional e aprimorando seus recursos com suas oportunidades (Augustin, 2008). Por tanto, o planejamento estratégico é um processo que incide na análise das vantagens e desvantagens, das oportunidades, das ameaças, das possibilidades, com

o objetivo de elaborar estratégias e ações que aumentem a resolutividade dos problemas e fluidez rotina (Pereira, 2010, p. 47).

v. *Equipes de Alto desempenho*

Melhorar o desempenho coletivo é um processo que demanda esforço e continuidade. Antes mesmo de se tornar uma equipe de alto rendimento e produzir resultados significativos existem fases que se iniciam com a formação ou a seleção dos membros, passam pela capacitação individual que seguem com a integração e o desenvolvimento da equipe. Essa experiência promove bem-estar emocional, melhora a atmosfera psicológica ou o clima organizacional e por consequência amplia os resultados do grupo, em produtividade e qualidade (Blanchard et al, 2011).

Segundo Dyer et al. (2011), uma equipe de alto desempenho precisa ser compostas por pessoas que apresentem as seguintes características: Conhecimento, experiência ou habilidades técnicas relacionadas ao trabalho da equipe; boas habilidades interpessoais e de comunicação; alto nível de motivação para participar de um esforço coletivo; boas habilidades de gerenciamento de conflitos; capacidade de se adaptar a novas situações; confiabilidade e capacidade de tomar a iniciativa.

De acordo com Luecke (2010), em seu livro Criando Equipes, bons membros de equipe sabem administrar a si mesmos, são comprometidos com o objetivo comum, gostam de trabalhar com outras pessoas que estejam tão comprometidas quanto eles, física e emocionalmente. Devem ser pessoas honestas e dignas de confiança, devem ter altos padrões éticos, e sem medo de admitir seus erros, eles se responsabilizam pela parte que lhes é devida.

Para aprimorar as relações interpessoais é necessário desenvolver habilidades sociais. A competência social é um constructo avaliativo do desempenho de um indivíduo em uma tarefa interpessoal que atende aos objetivos pessoais e às demandas da situação e da cultura, produzindo resultados positivos conforme critérios instrumentais e éticos (Del Prette &, Del Prette (2018)..

Os autores Katzenbach & Smith (2001, p. 231), entendem que “uma equipe verdadeira é um número pequeno de pessoas com habilidades complementares, comprometidas com objetivos, metas de desempenho e abordagens comuns pelos quais se consideram mutuamente responsáveis”. Eles também nos mostram que o elemento-chave das equipes de alto desempenho é a disciplina.

A comunicação deficiente é a forma mais citada de conflito interpessoal entre membros de equipes de alto desempenho. Conforme pesquisa feita pelo Project Management Institute Brasil (PMI), entre 300 grandes e renomadas empresas envolvidas na pesquisa, 76% acreditam que a comunicação no

ambiente de trabalho é a principal responsável pelo fracasso das atividades propostas (Carvalho, 2017).

Existem vários conteúdos que podem ser transmitidos através dos recursos de *comunicação*, como promover direcionamentos através de cadeia hierárquica, gerar motivação individual ou coletiva, dar feedback individual a respeito de tarefas ou comportamentos entre outras formas (Chiavenato, 2009). A premissa que faz com que a comunicação seja boa é a de que ela deve incluir tanto a transferência da informação quanto o significado do que é comunicado.

Não se pode esquecer que uma equipe precisa de direcionamento, assim pessoas com boa capacidade de direção e liderança deve integrar esse time. Jeronimo Mendes (2012) diz que o líder se forma com o desenvolvimento e dedicação ao autoconhecimento e automonitoramento, mapeando pontos fortes e aqueles em que devem ser melhorados. Renovando-se dia a dia sem abrir mão dos valores e dos princípios morais e éticos. Esse olhar crítico para si mesmo permite a construção de novos comportamentos.

III. METODOLOGIA

Para melhor esclarecimento dos procedimentos adotados na pesquisa serão apresentados a natureza da pesquisa e seu delineamento. Na sequência é descrito sobre sua população, as variáveis envolvidas na pesquisa, os instrumentos de medidas, os procedimentos empregados na coleta e a análise estatística. Destacando-se que todos esses procedimentos contaram com a participação de alunos que leram e assinaram o Termo de Consentimento Livre e Esclarecido (Anexo 1).

a) *Delineamento de pesquisa*

i. *Procedimentos metodológicos utilizados na revisão de literatura*

A pesquisa bibliográfica para este estudo foi conduzida por meio de uma busca exploratória abrangente, com o intuito de acessar um amplo espectro de publicações relacionadas ao tema. Utilizando uma variedade de fontes, incluindo artigos, revistas, livros e trabalhos acadêmicos, buscou-se abordar de maneira abrangente as interseções entre habilidades emocionais e desempenho militar de alto risco.

A delimitação do tema começou com a definição clara do escopo e objetivo da revisão, centrando-se na relação entre habilidades emocionais e o desempenho em contextos militares de alto risco. A busca não impôs limitações temporais, permitindo a inclusão de publicações de diversas épocas para garantir uma compreensão abrangente do tema.

Os critérios de seleção foram precisamente orientados para identificar trabalhos que abordassem as habilidades emocionais em conjunto com o

desempenho militar em ambientes de alto risco. Dessa forma, a pesquisa priorizou artigos, revistas e outros documentos acadêmicos que oferecessem informações significativas sobre a influência das habilidades emocionais no cenário militar específico em questão.

Ao longo do processo, a identificação de lacunas na pesquisa foi um aspecto crucial. A revisão exploratória permitiu analisar a extensão das informações disponíveis e identificar áreas em que o conhecimento poderia ser mais aprofundado. A ausência de determinados enfoques ou a escassez de estudos específicos forneceram pistas valiosas sobre onde concentrar esforços para contribuir de maneira significativa ao campo.

Em suma, a pesquisa bibliográfica foi guiada pela busca ativa e abrangente de publicações relevantes sobre habilidades emocionais e desempenho militar de alto risco. A ausência de restrições temporais e a análise crítica das lacunas na literatura proporcionaram uma base sólida para a condução do estudo, garantindo que a revisão fosse abrangente, atual e contribuísse efetivamente para o entendimento do tema em questão.

ii. *Fase empírica: Planejamento e condução do estudo de campo*

Estabelecer o delineamento da pesquisa significa mostrar o planejamento de forma mais ampla, levando em consideração o ambiente onde os dados são coletados, assim como os meios utilizados para controlá-los (Gil, 2008, p.49).

Esta foi uma pesquisa de natureza mista pois foram coletados dados numéricos (Anexos 2 ao 5) com a elaboração de gráficos e, também, foram feitas análises das respostas abertas apresentadas no questionário de final de Curso (Anexo 6).

O delineamento da pesquisa é experimental pois foram feitas intervenções planejadas visando capacitar os alunos ao desenvolvimento de hábitos e competências para que fossem analisados os resultados. A subcategoria do desenho da pesquisa foi investigação ação pois este experimento está sendo realizado na área educacional e foram usadas análise subjetiva do conteúdo, coma hipótese da mudança na realidade social da amostra avaliada.

A pesquisa foi um estudo de corte longitudinal, pois foram feitas duas coletas, uma no início (28/06/2023), antes das intervenções, e outra ao longo (21/09/2023) do Curso. Essa defasagem temporal de aproximadamente três meses, tem o propósito de identificar se os hábitos e competências foram desenvolvidos pelos alunos ao longo do período.

b) *População/Amostra*

A população refere-se a equipes operacionais de alto rendimento, com ênfase em operações especiais de alto risco. A amostra foi de 30 alunos do Curso de

Forças Especiais do Exército Brasileiro, realizado no ano de 2023. Foi uma amostra probabilística estratificada, pois só se candidatam ao Curso de Forças Especiais militares concludentes do Curso de Ações de Comandos (CAC).

O CAC tem aprovação histórica de 20% dos candidatos do público geral (âmbito Forças Armadas), de forma que a amostra possui características do pessoal operacional de alto risco. As características sociodemográficas da população que compôs esse estudo são de oficiais e sargentos do Exército, do sexo masculino, idade média de trinta anos, com ensino superior e formação acadêmica militar.

i. *Variáveis*

As Variáveis Independentes (VI) deste projeto de pesquisa foram as horas de capacitação dos alunos nos seguintes assuntos: Autoconhecimento; Planejamento Estratégico; Treinamento Mental: Atenção Plena; e Relações Interpessoais. Essa capacitação ocorreu em cinco encontros na primeira semana, com um total de sete horas.

Através de autoavaliação realizada antes e depois da intervenção, as variáveis Dependentes (VD) observadas foram: o desenvolvimento da capacidade de auto-observação através de uma atitude reflexiva; o emprego de práticas meditativas para o controle da ansiedade; a capacidade de planejamento; a adoção da visualização e do treinamento mental na rotina; e o aprimoramento das comunicações interpessoais.

ii. *Instrumentos de medida e técnicas*

Foram confeccionados pelo autor quatro instrumentos avaliativos (Anexo 2 ao 5) para levantamento de dados objetivos, aplicados no início e no final do Curso, e um questionário com questões abertas (Anexo 6) ao final do Curso. Os instrumentos tiveram o propósito de identificar se a frequência emitida do comportamento citado, aumentou ou diminuiu. O Questionário buscou identificar o emprego geral das técnicas ministradas e, se houve benefícios fruto do desenvolvimento de habilidades emocionais.

Serão descritos a seguir os 4 (quatro) instrumentos utilizados nesta pesquisa. Instrumento Avaliativo do Planejamento Pessoal (Anexo 2); Instrumento Avaliativo de Atenção Plena (Anexo 3); Instrumento Avaliativo de Inteligência Emocional (IE) (Anexo 4); Instrumento Avaliativo de Relações Interpessoais (Anexo 5). Foram utilizadas a escala com 10 pontos, classificados da seguinte forma: se o item foi totalmente positivo, classificação 10 (dez); se o item foi totalmente negativo, classificação 1 (um). A distribuição do grau de intensidade variou dentro do intervalo. Os comportamentos expressam o que é desejável, é a imagem que o aluno criou em sua mente. Seguiram duas perguntas abertas, com o propósito de gerar reflexão no aluno quanto ao comportamento que vem emitindo.

O material coletado nas questões abertas do Questionário de Avaliação das Práticas Desenvolvidas foi submetido à técnica de análise de conteúdo de Bardin (1977) em leituras flutuantes e sistematizados em temas principais a partir da inferência e frequência dos discursos.

iii. *Procedimentos*

Foram realizadas cinco intervenções de 1h30' (uma hora e trinta minutos) em todos os alunos na primeira semana do Curso (de 26 a 30 de junho de 2023). Em cada encontro foi abordado um dos seguintes temas na sequência: Autoconhecimento, Planejamento Estratégico; Atenção Plena, Treinamento mental e Relações Interpessoais. Em todos os encontros foram realizadas atividades práticas para que o aluno interagisse ativamente com o assunto. Os Instrumentos Avaliativos (Anexos 2 ao 5) foram aplicados no início da intervenção e durante do Curso. Tiveram o propósito de identificar se houve variação em seus "Indicadores".

O Questionário de Avaliação das Práticas desenvolvidas foi aplicado em 21/09/2023 (Anexo 6). Todas as aplicações de instrumentos foram feitas pelo autor, em local limpo, arejado e sem ruído que comprometesse a realização da atividade.

iv. *Análise estatística*

Para realizar a análise estatística dos resultados obtidos com os 5 instrumentos de coleta de dados, foram utilizados o teste t, média, desvio padrão e valor de "p", os quais foram calculados por meio do software Excel.

Primeiramente, os dados coletados foram inseridos em planilhas separadas no Excel. Foi realizada uma análise descritiva dos dados, calculando a média e o desvio padrão para cada item dos instrumentos de coleta de dados. Em seguida, foi aplicado o teste t para comparar a média dos comportamentos avaliados em cada instrumento. Foi estabelecido um nível de significância (usualmente 5%) para determinar se as diferenças entre as médias são estatisticamente significativas.

O valor de "p", que é um indicador estatístico, foi calculado para avaliar a significância estatística dos resultados. Levando em consideração que o valor de "p" varia de 0 a 1, sendo que valores menores indicam uma maior evidência contra a hipótese nula, ou seja, uma maior probabilidade de que os resultados sejam devido a um efeito real, não ao acaso, neste estudo buscou-se verificar se o valor de "p" encontrado foi menor que 0,05 (ou 5%), o que demonstrou que os resultados são estatisticamente significativos, indicando que há uma probabilidade menor que 5% de que os resultados sejam devidos ao acaso. Foram gerados gráficos de barras e diagramas de dispersão para visualizar os resultados e identificar possíveis padrões nos dados. Os resultados obtidos serão interpretados e

discutidos à luz dos objetivos da pesquisa, com o objetivo de identificar padrões de comportamento e possíveis relações entre eles.

IV. RESULTADOS

O estudo meticulosamente examinou os resultados obtidos ao longo do Curso de Forças Especiais, concentrando-se no desenvolvimento de habilidades emocionais em ambientes de alto risco. Dividindo a avaliação em quatro áreas principais - Planejamento Pessoal (Anexo 2), Atenção Plena (Anexo 3), Inteligência Emocional (Anexo 4) e Relações Interpessoais (Anexo 5) - o método adotado incorporou duas coletas distintas de dados durante a extensão do curso e a aplicação de um questionário (Anexo 6) entre as duas coletas no dia 29/09/2023.

A primeira coleta foi conduzida na primeira semana do Curso, datada em 28/06/2023, fornecendo uma linha de base inicial para a análise. Nesse estágio, os alunos foram avaliados em diversas características, desde Planejamento Rotineiro até Consciência do Pensamento, delineando o ponto de partida para a avaliação do desenvolvimento ao longo do tempo.

A segunda coleta, realizada na vigésima semana do Curso, datada em 03/11/2023, marcou o segundo ponto de avaliação. Esta fase permitiu uma comparação direta com os dados iniciais, revelando detalhes cruciais sobre o progresso dos alunos ao longo do programa. Ambas as coletas de dados envolveram análise quantitativa e qualitativa, combinando dados numéricos e respostas abertas para obter uma compreensão abrangente do impacto do treinamento nas habilidades emocionais dos participantes.

Essa abordagem de coletas múltiplas proporcionou uma visão dinâmica e detalhada da evolução das habilidades emocionais dos alunos ao longo do Curso de Forças Especiais, oferecendo uma base sólida para a análise dos resultados apresentados.

a) *Planejamento Pessoal*

O Planejamento pessoal busca identificar como o profissional administra seu tempo de curto a longo prazo. Diz respeito ao controle das atividades em adequação ao tempo disponível. Quanto maior esse controle exercido, melhor será o aproveitamento do tempo e o alcance de melhores resultados.

i. *Planejamento Rotineiro*

A primeira coleta de dados sobre como os alunos realizam seu Planejamento Rotineiro foi em 28/06/2023, na primeira semana do Curso. A média do INDICADOR DE PLANEJAMENTO ROTINEIRO, entre os alunos pesquisados, foi de 7,84. A segunda coleta de dados desse indicador, foi em 03/11/2023, na vigésima semana, e a média entre os alunos foi de 8,11 (figura

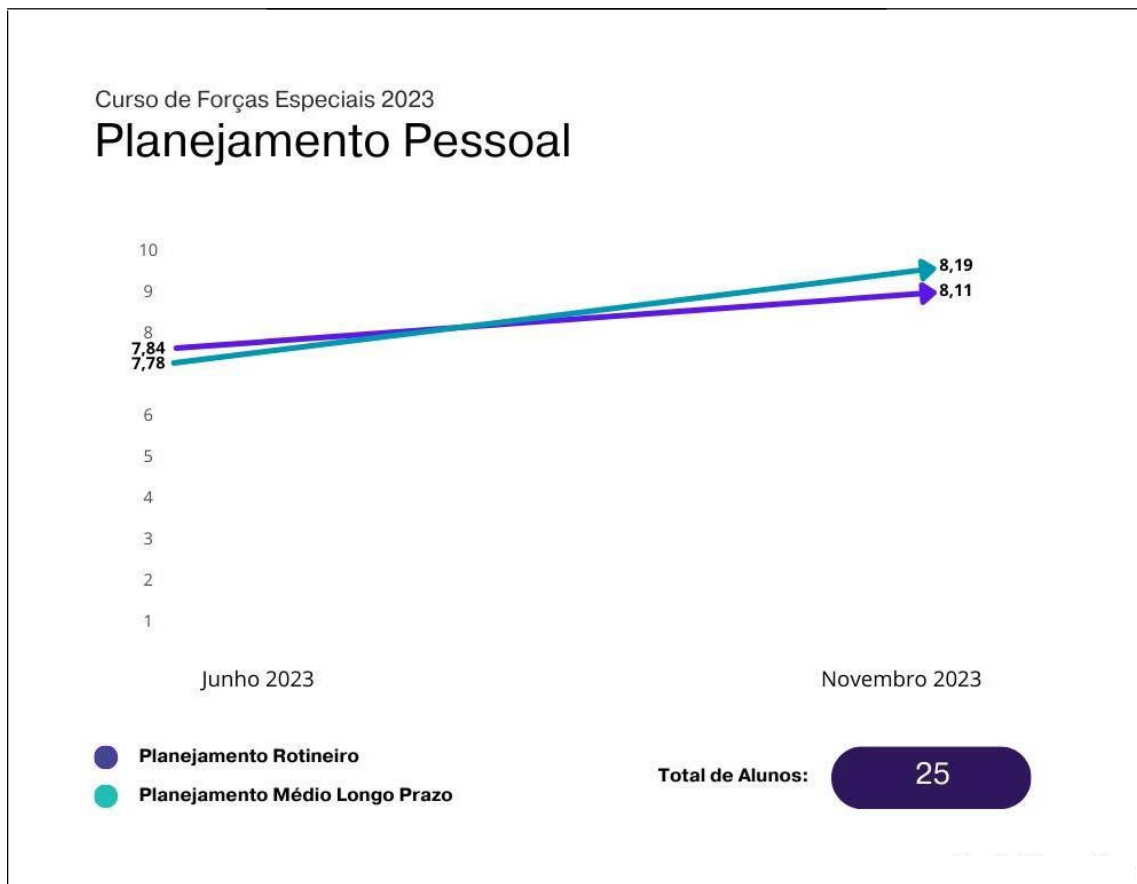


2). Observa-se um aumento de 2,7% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve a menor diferença, classificando-se em 8º lugar.

ii. *Planejamento Médio longo prazo*

A média do INDICADOR DE PLANEJAMENTO MÉDIO LONGO PRAZO, entre os alunos pesquisados

na primeira fase foi de 7,78. Já na segunda os resultados apontaram uma média de 8,19 (figura 2). Observa-se um aumento de 4,1% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 7º lugar.



Fonte: Elaborado pelo autor.

Figura 2: Planejamento pessoal

b) *Atenção Plena*

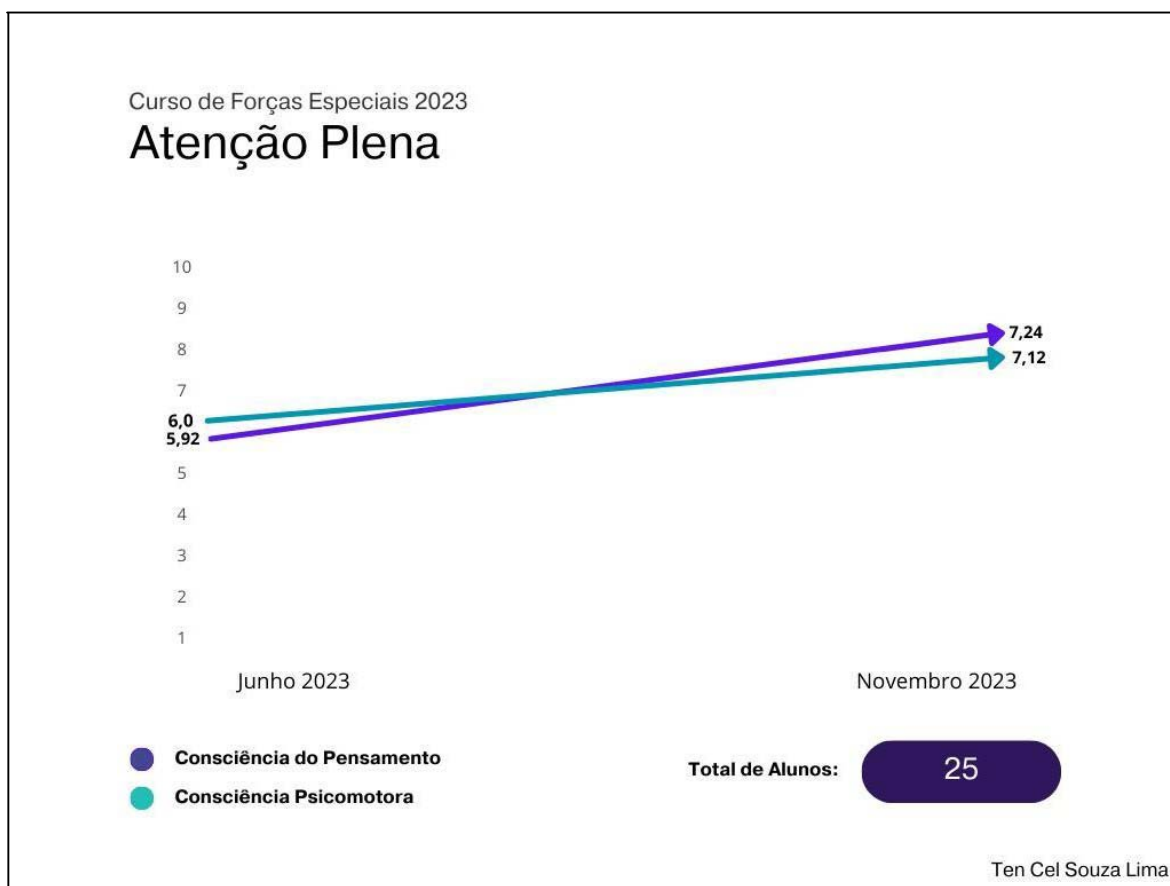
i. *Consciência do Pensamento*

O INDICADOR DE CONSCIÊNCIA DO PENSAMENTO entre os alunos pesquisados apontou na primeira coleta de dados uma média de 5,92, em contrapartida a segunda coleta resultou em uma média de 7,24 (figura 3). Observa-se um aumento de 13,20% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 1º lugar.

ii. *Consciência Psicomotora*

A primeira coleta sobre qual é a Consciência Psicomotora dos alunos, denominada como INDICADOR DE CONSCIÊNCIA PSICOMOTORA, alcançou uma média de 6,00. Ao ser realizada a segunda coleta de dados essa média passou para 7,12

(figura 3). Observa-se um aumento de 11,2% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 3º lugar.



Fonte: Elaborado pelo autor.

Figura 3: Atensão Plena

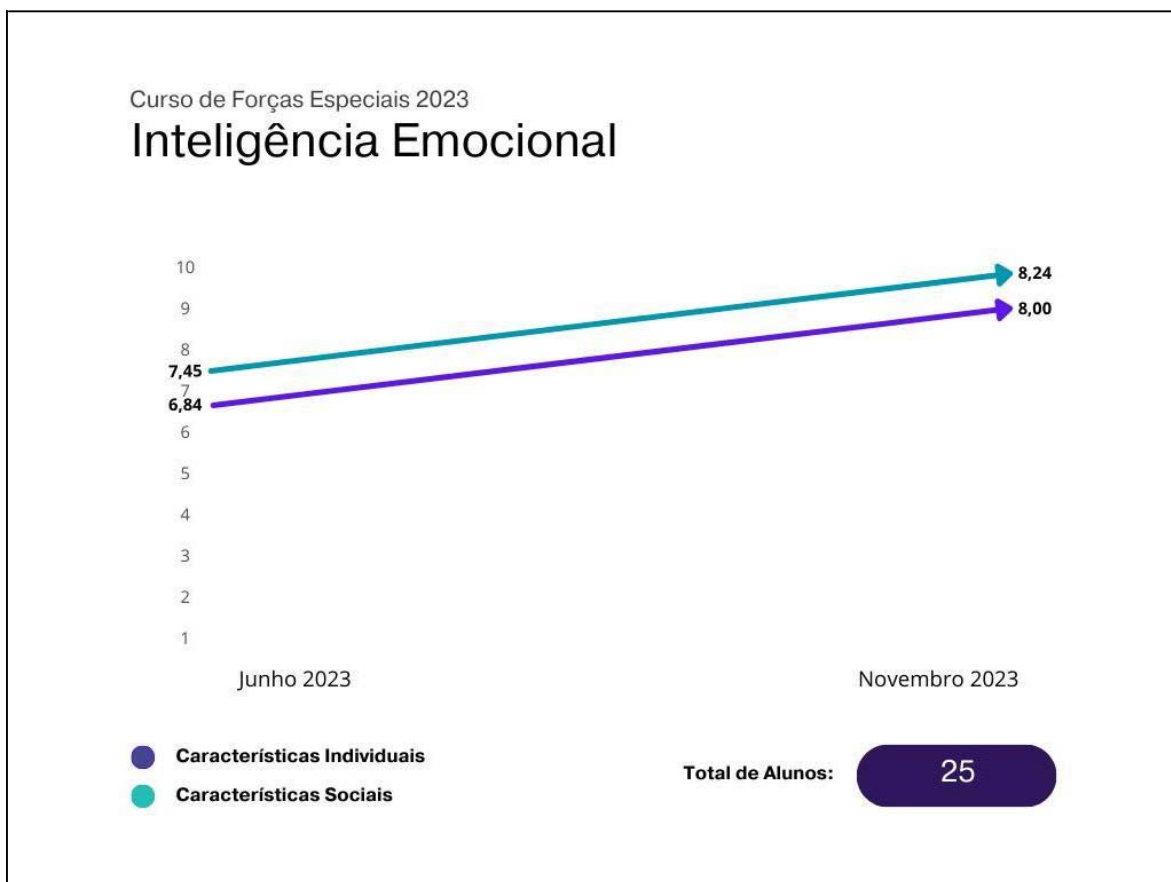
c) *Inteligência Emocional*

i. *Características Individuais*

Ao ser realizada a primeira coleta de dados do INDICADOR DE CARACTERÍSTICAS EMOCIONAIS INDIVIDUAIS visando identificar as características individuais do comportamento emocional dos alunos, obteve-se como resultado uma média de 6,84. Ao tornar a realizar essa coleta pela segunda vez, a média entre os alunos foi de 8,00 (figura 4). Observa-se um aumento de 11,6% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 2º lugar.

ii. *Características Sociais*

O INDICADOR DE CARACTERÍSTICAS EMOCIONAIS SOCIAIS coletado a primeira vez entre os alunos pesquisados, foi de 7,45, já na segunda coleta desse indicador os resultados apontaram que a média entre os alunos foi de 8,24 (figura 4). Observa-se um aumento de 7,9% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 4º lugar.



Fonte: Elaborado pelo autor.

Figura 4: Inteligência Emocional

d) *Relações Interpessoais*

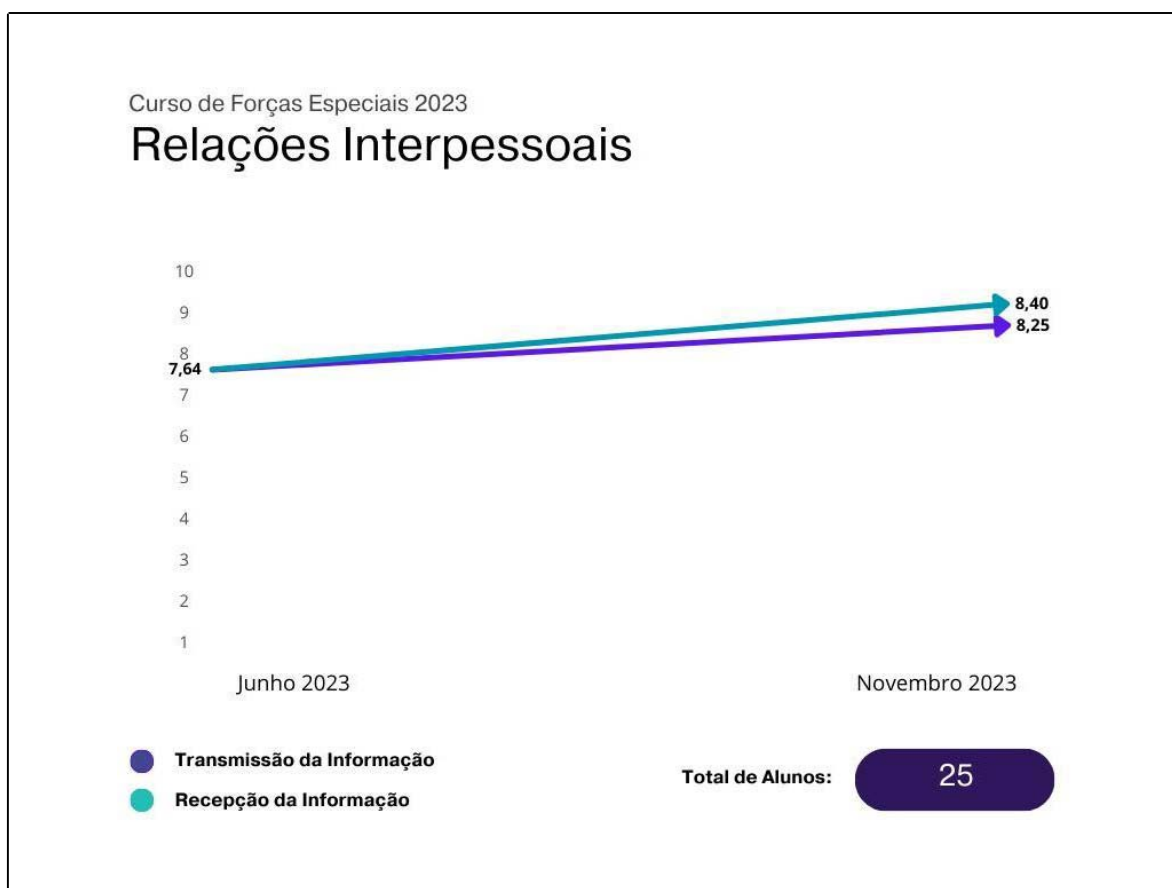
i. *Transmissão da informação*

Por fim, a primeira coleta de dados sobre como os alunos realizam sua comunicação na transmissão da informação realizada em 28/06/2023 apontou uma média do INDICADOR DE TRANSMISSÃO DA INFORMAÇÃO de 7,64. Na segunda coleta a média obtida entre os alunos foi de 8,25 (figura 5). Observa-se um aumento de 6,1% entre as coletas. Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 6º lugar.

ii. *Recepção da Informação*

Quanto ao INDICADOR DE RECEBIMENTO DA INFORMAÇÃO entre os alunos pesquisados, a média foi de 7,64 na primeira coleta de dados e na segunda coleta a média foi de 8,40 (figura 5). Observa-se um aumento de 7,7% entre as coletas.

Em relação a amplitude da melhora, entre as 8 características avaliadas nos instrumentos, esse indicador obteve o 5º lugar.



Fonte: Elaborado pelo autor.

Figura 5: Relações interpessoais

e) Questionário de Avaliação das Práticas Desenvolvidas (ANEXO 6)

Este questionário constitui-se de perguntas fechadas e principalmente abertas. Ele tem por objetivo identificar quais práticas foram empregadas nas diferentes situações e, principalmente, identificar quais foram os benefícios observados pelos alunos ao longo do curso. Realizaram a pesquisa 25 (vinte e cinco) alunos. Cada aluno poderia citar mais de um benefício, sendo contabilizada todas as observações realizadas. As respostas foram sistematizadas em temas principais a partir da inferência e frequência dos discursos (figura 6).

No *planejamento*, os alunos citaram que tiveram benefícios por 6 (seis) vezes. Entre os benefícios citados estão: *ajudou a coordenar muitas atividades; organizou e otimizou o tempo; preveniu situações problemas; estabeleceu prioridades; e auxiliou na tomada de decisão.*

O *autoconhecimento* foi citado 9 (nove) vezes. Os momentos identificados como de desenvolvimento desta capacidade foram: *o controle do estresse; percepção de autocontrole diante de problemas; administração dos extintos; mais autoconfiança; falar com mais calma; e controlar a ansiedade.*

O *controle emocional* foi citado 10 (dez) vezes e foi usado em *momentos de incerteza e pressão psicológica.* Seus benefícios são relatados em: *melhora raciocínio; melhora da tomada de decisão; mais segurança; e mais equilíbrio nas emoções.*

As *relações interpessoais* foram citadas 13 (treze) vezes. Os exemplos citados onde foram aprimorados os relacionamentos foram: *achar soluções em grupo; empatia com o companheiro; saber ouvir; respeitar opinião; e paciência (citada 6 vezes).*

As *práticas meditativas* foram citadas em 24 (vinte quatro) momentos distintos, destacando-se a *visualização e treinamento mental por 11 (onze) e o controle da respiração por 8 (oito) vezes.* Outros termos usados foram a meditação e o pensamento positivo.

A *visualização* foi praticada antes do briefing, para projeção de objetivos futuros e para o desfecho de situações problemas. Os benefícios citados foram *manter o foco, mais concentração, redução da ansiedade, dominar situações adversas, aumento da confiança, redução de erros e encontrar soluções.*

O *controle da respiração* foi praticado em momentos com grande potencial ansiogênico, como *apresentações e discussões do processo decisório, destacando-se momentos de exposição pessoal. Os*

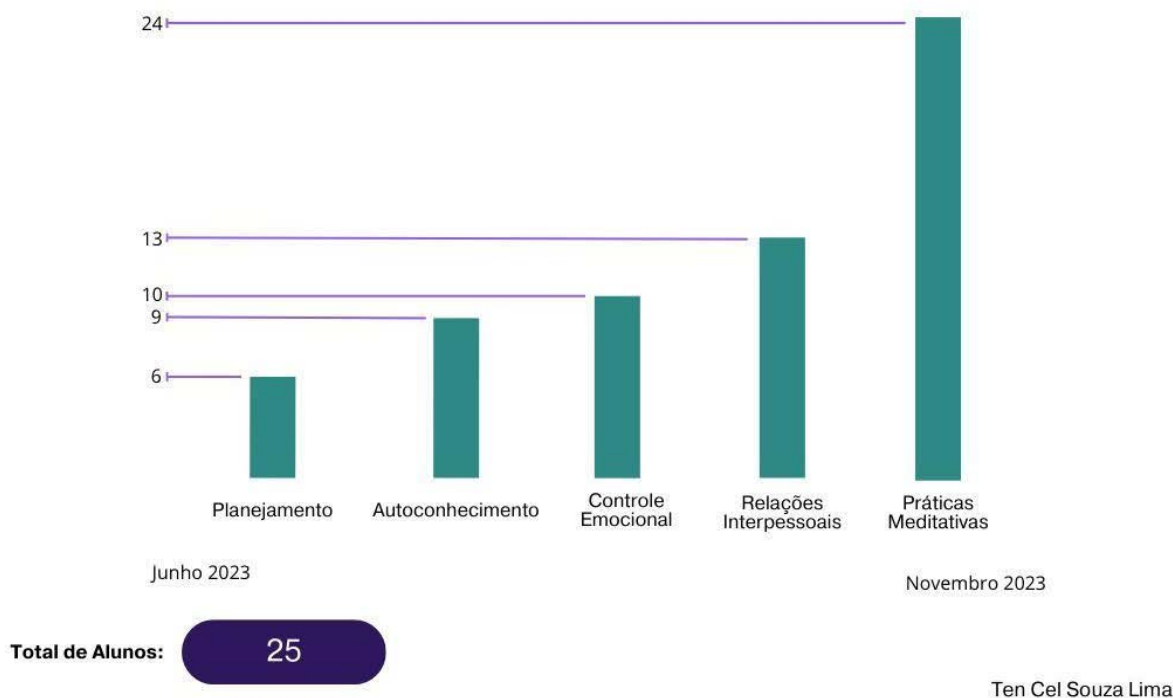
benefícios citados foram *acalmar os nervos (citado quatro vezes), calma e serenidade, relaxamento, reduzir a ansiedade e manter a concentração.*

Os benefícios citados criam condições para a melhora do desempenho através da mudança de

comportamento, de hábitos resistentes para hábitos mais adaptativos. Mesmo não sendo feita uma pergunta direta, 6 (seis) alunos citaram ter percebido uma melhora nos resultados.

Curso de Forças Especiais 2023

Questionário das Práticas desenvolvidas



Fonte: Elaborado pelo autor.

Figura 6: Questionário de Avaliação das Práticas Desenvolvidas

V. DISCUSSÃO

O tempo de duração e as situações incontroláveis apresentadas no Curso de Forças Especiais se enquadra em um ambiente operacional de alto risco. Corroborando com a definição de Picano & Willians (2009), ambiente operacional de alto risco se retrata a lugares desconhecidos ou hostis, em diferentes contextos culturais. Nesse contexto os níveis de ansiedade e estresse dos alunos são elevados.

Sobre os resultados colhidos pode-se observar que as coletas foram feitas em 28/06/2023 e 03/11/2023, sendo o intervalo entre elas de, aproximadamente, 5 (cinco) meses. É possível observar também que existiu uma evolução significativa na percepção dos alunos em relação a seu comportamento, sendo apresentado mais detalhadamente a seguir.

O *planejamento* foi o comportamento que obteve menor ampliação do resultado, com melhora global de 3,4%. Fato que contribui para este resultado é que sua avaliação começa com índices muito altos

restando pouca margem para ampliação. Os relatos dos alunos vão ao encontro com o que fala Moritz et al (2012, p. 105), o planejamento promove decisões mais precisas, prevenção de problemas e otimização do tempo.

Os resultados apresentados no instrumento Avaliativo de *Atenção Plena* mostram que esse comportamento foi o que obteve mais amplitude de aumento no resultado. A percepção de melhora geral foi de 12,2% entre as coletas. Conforme afirma Cebolla et al, 2014, Germer, 2016 & Marti et al, 2016, esses recursos reduzem os efeitos do estresse e dos pensamentos desadaptativos melhorando a resposta imunológica e a satisfação com a vida. É relevante que mesmo havendo atingido esse bom resultado em relação aos outros comportamentos, seu índice final é 1 (um) ponto, mas baixo que todos os outros recursos avaliados, havendo ainda uma grande margem de melhora.

Em relação a *Inteligência Emocional*, foi apresentado o segundo maior percentual de melhora, sendo este de 9,8 %. Houve mais desenvolvimento das

características individuais em relação as características sociais. Demonstrando que o desempenho frente as situações estressoras depende das habilidades emocionais do militar, as quais podem ser aprimoradas em treinamentos (Smith et al, 2020). Os relatos citam benefícios como mais segurança, melhora do raciocínio, melhora da tomada de decisão e mais equilíbrio nas emoções. Fatores que contribuem para a melhora dos resultados.

As *Relações Interpessoais* apresentaram uma melhora entre as coletas de 6,8%. Houve mais ganho em relação a recepção da informação quando comparada com a transmissão da mesma. A comunicação deficiente é a forma mais citada de conflito interpessoal entre membros de equipes de alto desempenho. Conforme citado por Carvalho (2017), para 76% das empresas pesquisadas a comunicação é a principal responsável pelo baixo resultado das atividades propostas. Relacionamento é comunicação e os relatos apresentados se referem ao aumento da paciência, melhora da escuta e mais flexibilidade no processo decisório, sinalizando que os recursos interpessoais foram aprimorados.

A coleta de dados do *Questionário de Avaliação das Práticas Desenvolvidas* (Anexo 6), foi realizada isolando-se os comportamentos à medida que eram citados. Porém, nos relatos são feitas conexões entre as práticas.

O *controle da respiração* é uma técnica frequentemente utilizada nas práticas meditativas, pois a respiração está intimamente ligada à mente e às emoções. Controlar a respiração ajuda a acalmar a mente, reduzir o estresse e aumentar a concentração. O ritmo cardíaco é determinado pelo sistema nervoso. Cruz et al (2020), explica que os resultados dessa prática começam na primeira semana com a redução do tônus simpático e estímulo do nervo parassimpático o que gera como consequência a redução da frequência cardíaca e dos níveis de ansiedade.

As *práticas meditativas* promovem reflexão que permitem um estado de observação dos pensamentos e das emoções. Segundo Menezes et al, (2012) a meditação é a "busca da alteração voluntária do estado de consciência, utilizando a percepção consciente e a auto-observação". O desenvolvimento desse habito gera autoconhecimento, relatado em termos como automonitoramento. Sendo esta leitura do aluno simplificada pela percepção de autocontrole diante de situações estressoras. Corroborando com Cardoso et al, (2004), afirmando que a meditação estimula o autoconhecimento e a vivência positiva, gerando menos tendência a perda de controle.

Em relação as *emoções*, quando se compreende seu funcionamento, é possível, através de monitoramento, lidar de forma mais assertiva, evitando reações impulsivas ou prejudiciais. A compreensão de como estes aspectos interferem na vida auxilia no

enfrentamento de situações adversas e acarreta em mudanças individuais (Silva, 2019 & Torres, 2008). O controle emocional ajuda a tomar decisões racionais, mesmo diante de situações desafiadoras.

Ao comparar os resultados dos *Instrumentos Avaliativos* (Anexos 2 ao 5) e do *Questionário* (Anexo 6), pode-se observar que os resultados apresentaram semelhanças. Em ambos tem destaque o uso expressivo das práticas meditativas. Foi o comportamento que mais se ampliou e também foi o mais usado. Tem relevância também que estas práticas permeiam outras habilidades como o autocontrole e a observação das emoções.

VI. CONCLUSÃO

Diante dos resultados obtidos, os achados desta pesquisa indicam uma evolução positiva nas habilidades emocionais dos participantes ao longo do curso, com ênfase em áreas específicas, conforme evidenciado nas análises das quatro principais dimensões avaliadas.

No âmbito do Planejamento Pessoal, observa-se um aumento consistente nas médias dos indicadores de Planejamento Rotineiro e Médio Longo Prazo. Embora o Planejamento tenha sido a área com menor expressão de melhora, a autoavaliação final revela índices elevados de desempenho, destacando a percepção positiva dos participantes em relação a essa dimensão.

A seção sobre Atenção Plena revela progressos notáveis na Consciência do Pensamento e Consciência Psicomotora. A prática de meditação emerge como um fator crucial, antecedendo e permeando outras áreas, como relações interpessoais e equilíbrio emocional.

No tocante à Inteligência Emocional, observa-se um aprimoramento tanto nas Características Individuais quanto Sociais. O curso parece ter impactado positivamente a compreensão e a gestão das emoções, elementos cruciais em situações de estresse.

Na análise das Relações Interpessoais, identificam-se melhorias consistentes nos indicadores de Transmissão e Recepção da Informação. Esses resultados sugerem uma comunicação mais eficaz, refletindo-se na resolução de problemas em grupo, empatia, habilidade de ouvir e paciência.

Após analisar os benefícios percebidos pelos participantes, destaca-se que as Práticas Meditativas foram as que mais tiveram uma percepção positiva de melhora. Além disso, essas práticas parecem influenciar outras áreas, como controle emocional, autoconhecimento e planejamento.

No entanto, é fundamental reconhecer as limitações deste estudo. A falta de um planejamento adequado para os encontros e a ausência de um acompanhamento contínuo ao longo do curso são

fatores que podem ter impactado os resultados. Recomenda-se, portanto, a implementação de uma estrutura mais sólida e acompanhamento mais consistente para intensificar ainda mais as práticas meditativas e auto reflexivas.

Com base nos resultados obtidos, sugere-se uma proposta de intervenção que inclua encontros mais estruturados ao longo do curso, proporcionando uma abordagem mais contínua e intensiva das práticas meditativas, contextualizando-as com a realidade de cada profissional. Isso pode potencializar os benefícios percebidos e contribuir para um desenvolvimento mais robusto das habilidades emocionais.

Além disso, para responder à pergunta sobre modificações no método de formação dos combatentes para enfrentar situações estressoras, recomenda-se a incorporação de práticas meditativas e auto reflexivas de forma mais sistemática no currículo de formação militar. Isso pode fornecer uma base sólida para o desenvolvimento das habilidades emocionais, contribuindo para um melhor desempenho individual e coletivo em ambientes de alta pressão.

Conclui-se, portanto, que os resultados desta pesquisa indicam avanços positivos nas habilidades emocionais dos participantes, apontando para áreas específicas de melhoria. As limitações identificadas oferecem oportunidades para aprimoramentos futuros, enquanto as recomendações sugeridas visam contribuir para intervenções mais eficazes no desenvolvimento emocional dos combatentes em contextos desafiadores.

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ANEXOS

Anexo 1: Termo de Consentimento Livre e Esclarecido

TERMO DE CONSENTIMENTO LIVRE E ESCLARECIDO

(Resolução 466/2012 do CNS)

Você está sendo convidado para participar da pesquisa **“A INFLUÊNCIA DO DESENVOLVIMENTO DE HABILIDADES EMOCIONAIS NO PROCESSAMENTO DE SITUAÇÕES ESTRESSORAS EM TROPAS DE OPERAÇÕES ESPECIAIS”**.

O objetivo deste estudo é avaliar a influência de sessões de Habilidades Emocionais realizadas com os alunos para o processamento de situações estressoras vivenciadas no Curso de Forças Especiais (CFE). Sua participação é voluntária, a sua recusa não acarretará nenhum prejuízo na sua relação com o pesquisador ou a instituição.

A coleta de dados será realizada através da aplicação de quatro instrumentos e um questionário. Sua identificação é de caráter reservado, de interesse para a pesquisa, seu nome não será informado. Durante toda a pesquisa sua privacidade será assegurada.

A participação no estudo oferece risco mínimo, como possibilidade de constrangimentos por responder um questionário, porém sem risco subjetivo. No entanto, em caso de desconforto pelos assuntos abordados, o senhor poderá optar pela suspensão imediata de sua participação.

Sua participação nessa pesquisa auxiliará na obtenção de dados que poderão ser utilizados para fins científicos, proporcionando maiores informações e discussões que poderão trazer benefícios para o aprimoramento do processo de ensino-aprendizagem do Curso de Forças Especiais, podendo contribuir para a implantação destas práticas durante a formação.

Pesquisador Responsável: LORIVAL DE SOUZA LIMA JÚNIOR Contato
telefônico: (32) 991090150 E-mail: lorivas76@gmail.com

Comitê de ética responsável:

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FORA Bairro: CENTRO CEP: 36.016-000 UF: MG

Telefone: (32)3250-3800 Fax: (32)3250-3842 E-mail: comiteetica@uniacademia.edu.br

Declaro que entendi os objetivos, riscos e benefícios de minha participação na pesquisa: **“A INFLUÊNCIA DO DESENVOLVIMENTO DE HABILIDADES EMOCIONAIS NO**



PROCESSAMENTO DE SITUAÇÕES ESTRESSORAS EM TROPAS DE OPERAÇÕES ESPECIAIS”, e concordo em participar. Declaro que fui verbalmente informado e esclarecido sobre o presente documento, entendendo todos os termos acima expostos, e que voluntariamente aceito participar deste estudo.

Local e data: _____

Nome do Pesquisador

Nome do Participante

Assinatura do Pesquisador

Assinatura do Participante

Anexo 2: Instrumento Avaliativo do Planejamento Pessoal

ANEXO 2			
INSTRUMENTO AVALIATIVO DO PLANEJAMENTO PESSOAL			
Nome _____ . Data: ____ / ____ / ____ .			
Classifique, de 1 (um) a 10 (dez), o quanto você PRÁTICA OU CONCORDA com os comportamentos descritos a seguir, sendo: 1 (Quase nunca) e 10 (Quase Sempre).			
	Item	COMPORTAMENTO	Classificação
Rotineiro	a	Planeja as atividades do dia a dia, seja trabalho, estudo ou lazer	
	b	O planejamento ajuda a resolver problemas da falta de tempo	
	c	Realiza todas as atividades previstas e planejadas para o dia	
	d	O agendamento prévio permite programar atividades futuras	
	e	Se preocupa com o tempo que gasta para apresentar soluções	
	f	Usa o relógio com frequência para marcar e executar atividades	
INDICADOR PLANEJAMENTO ROTINEIRO $\frac{(a+b+c+d+e+f)}{6}$			
Médio Longo prazo	g	A vida que leva hoje foi planejada a tempos atrás	
	h	O sucesso é resultado de reflexão, planejamento e esforço	
	i	Comunica e desenvolve planos bem elaborados para o futuro	
	j	Proporciona recursos e procedimentos para implementação dos planos	
	l	Tem planos pessoais ou profissionais para os próximos cinco anos	

m	Tem sucesso com o planejamento financeiro	
INDICADOR PLANEJAMENTO M. L. PRAZO $(g+h+i+j+l+m)$		
6		
Comente sua percepção sobre seu PLANEJAMENTO ROTINEIRO. Existe algo a melhorar?		
Comente sua percepção sobre seu PLANEJAMENTO MÉDIO/LONGO PRAZO. Existe algo a melhorar?		

Anexo 3: Instrumento Avaliativo de Atenção Plena

ANEXO 3			
INSTRUMENTO AVALIATIVO DE ATENÇÃO PLENA			
Nome: _____		Data: ____/____/____.	
Classifique, de 1 (um) a 10 (dez), o quanto você pratica ou concorda com os comportamentos descritos a seguir, sendo: 1 (Quase nunca) e 10 (Quase Sempre).			
	Item	COMPORTAMENTO	Classificação
Consciência do Pensamento Mentais	a	Pratica minutos de “respiração concentrada” ao longo do dia	
	b	Reserva tempo, diariamente, para oração, reflexão ou meditação	
	c	Imagina os resultados desejados realmente acontecendo	
	d	Concentra-se em situações turbulentas sem dificuldade	
	e	Mantém-se focado no que está acontecendo atualmente	
	f	Consegue adiar recompensas quando é preciso sem pesar	
INDICADOR CONSCIÊNCIA DO PENSAMENTO $(a+b+c+d+e+f)$		6	
Consciência Psicomotoras	g	Realiza atividades com atenção em cada detalhe	
	h	Trabalha de forma calma, estabelecendo prioridades	
	i	Respeita a ordem das prioridades e procura não as interromper	
	j	Guarda e lembra o nome das pessoas que conhece com facilidade	
	l	Quando assiste uma aula não se distrai com outros estímulos	
	m	Foca a atenção nas atividades que realiza (comer, tomar banho, dirigir etc.)	
INDICADOR CONSCIÊNCIA PSICOMOTORA $(g+h+i+j+l+m)$		6	
Comente sua percepção sobre sua CONSCIÊNCIA DO PENSAMENTO. Existe algo a melhorar?			
Comente sua percepção sobre sua CONSCIÊNCIA PSICOMOTORA. Existe algo a melhorar?			

Anexo 4: Inteligência Emocional

ANEXO 4			
INSTRUMENTO AVALIATIVO DE INTELIGÊNCIA EMOCIONAL (IE)			
Nome: _____ Data: ____ / ____ / ____.			
Classifique, de 1 (um) a 10 (dez), o quanto você pratica ou concorda com os comportamentos descritos a seguir, sendo: 1 (Quase nunca) e 10 (Quase Sempre).			
	Item	COMPORTAMENTO	Classificação
Características Individuais	a	Identifica suas próprias emoções e reconhecer seu impacto em suas ações e decisões	
	b	Conhece seus próprios limites e possibilidades, sem sesupervalorizar ou subestimar	
	c	Flexível na adaptação a pessoas com estilos diferentes e a situações voláteis ou antagônicas	
	d	Possui um sólido senso de seu valor próprio, capacidades epotencial, não se abalando com críticas	
	e	Mantém emoções e impulsos destrutivos sob controle sem comprometer seu comportamento	
	f	Adota um tempo de reflexão sobre os estímulos recebidos do ambiente e como deve respondê-los	
INDICADOR IE INDIVIDUAIS $\frac{(a+b+c+d+e+f)}{6}$			
Características Sociais	g	Percebe as emoções alheias, compreende seus pontos de vista e interessa-se ativamente por suas preocupações	
	h	Reconhece e satisfaz às necessidades dos subordinados e companheiros, ajudando-os a melhorarem seu desempenho	
	i	Cultiva as capacidades dos outros por meios de elogios e feedbacks	
	j	Soluciona conflitos levando à integração e à aceitação mútua	
	l	Pratica a colaboração e o trabalho em equipe com alto desempenho	
	m	Escuta atentamente olhando nos olhos de quem transmite a comunicação	
INDICADOR IE SOCIAIS $\frac{(g+h+i+j+l+m)}{6}$			
Comente sua percepção sobre suas CARACTERÍSTICAS INDIVIDUAIS da inteligência emocional. Existe algo a melhorar?			
Comente sua percepção sobre suas CARACTERÍSTICAS SOCIAIS da inteligência emocional. Existe algo a melhorar?			



Anexo 5: Instrumento Avaliativo Relações Interpessoais

ANEXO 5			
INSTRUMENTO AVALIATIVO RELAÇÕES INTERPESSOAIS			
Nome do avaliado: _____, (Av. Lateral) Data: ____/____/____.			
Classifique, de 1 (um) a 10 (dez), o quanto você pratica ou concorda com os comportamentos descritos a seguir, sendo: 1 (Quase nunca) e 10 (Quase Sempre).			
	Item	COMPORTAMENTO	Classificação
Transmissão	a	Contribui com ideias e sugestões para o grupo	
	b	Transmite informações importantes de maneira eficiente	
	c	Cumpe todos os compromissos programados	
	d	Avisa quando não vai poder realizar alguma tarefa	
	e	Expressa suas opiniões sem hesitar e de forma segura	
	f	Fala em tom moderado e de forma e agradável aos ouvintes	
INDICADOR TRANSMISSÃO DA INFORMAÇÃO $\frac{(a+b+c+d+e+f)}{6}$			
Recepção	g	É receptivo a ideias dos outros quando apresentadas	
	h	Pratica uma "escuta ativa" quando os outros falam	
	i	Conduz situações conflitantes de forma pacificadora	
	j	É habilidoso em receber feedback e ouvir orientações	
	l	Aceita mudanças desagradáveis que beneficiem o grupo	
	m	Procura entender como o outro pensa antes de concluir	
INDICADOR RECEPÇÃO DA INFORMAÇÃO $\frac{(g+h+i+j+l+m)}{6}$			
Comente sua percepção sobre sua TRANSMISSÃO da informação. Existe algo a melhorar?			
Comente sua percepção sobre sua RECEPÇÃO da informação. Existe algo a melhorar?			



Anexo 6: Questionário de Liação Daspráticas Desenvolvidas

ANEXO 6
QUESTIONÁRIO DE AVALIAÇÃO DAS PRÁTICAS DESENVOLVIDAS
Nome: __ (NÃO IDENTIFICAR) _____ Data: ____ / ____ / ____
SUAS RESPOSTAS SERÃO MUITO IMPORTANTES.
Você leu o Relatório de Análise de Perfil Comportamental DISC? () SIM () NÃO O Relatório DISC teve alguma utilidade para você? Qual?
Você leu a Nota de Aula? () SIM () NÃO A Nota de Aula teve alguma utilidade para você? Qual?
Entre os estímulos ansiogênicos e estressores aos quais você se deparou, sejam eles momentos de esforço físico, de grande empenho cognitivo, de distanciamento da família, de isolamento, entre outros. Descreva os recursos que você empregou para superar as dificuldades encontradas ao longo do CFE.
Tendo vivenciado, durante o Curso de Forças Especiais, um ambiente simulado de operações, em uma escala de 1 (pouco) a 10 (muito), o quanto as Habilidades Emocionais podem auxiliar o profissional a vencer os desafios encontrados nesse período? Pouco () 1 () 2 () 3 () 4 () 5 () 6 () 7 () 8 () 9 () 10 Muito
Você acredita que de alguma forma os recursos em Habilidades Emocionais tenham auxiliado VOCÊ durante o CFE? Quais BENEFÍCIOS, VOCÊ acredita que tenham ocorrido?
O que você acredita que poderia ser feito para melhorar o Programa de Desenvolvimento de Habilidades Emocionais? Sua resposta é muito importante. Obrigado!
OBRIGADO PELA ATENÇÃO! FORÇA!





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Unveiling the Therapeutic Potential of *Clitoria Guianensis* (Aubl.) Benth Var. *Guianensis*: A Comprehensive Review of its AntiInflammatory and Wound Healing Properties

By Felipe Oliveira Neves, Magno de Oliveira, Susana Cristine Siebeneichler, Juliana Cristina Holzbach, Jakelline Gonçalves de Andrade, Raffael Batista Marques, Juliana Fonseca Moreira da Silva, Isabelle Lorena Alves de Souza Neves, Cristiano Esswein & Raphael Sanzio Pimenta

Universidade Federal do Tocantins-UFT

Abstract- Introduction: This article proposes a comprehensive systematic review to analyze the potential of *Clitoria guianensis* as an anti-inflammatory and wound healing agent. The emphasis on diversifying research methods aims to deepen understanding of its medicinal properties, especially in the context of anti-inflammatory and wound healing activities. The plant, belonging to the genus *Clitoria* and native to Brazil, is recognized for its aphrodisiac properties and is used as a sexual stimulant, tonic, and energizer. Studies highlight the presence of bioactive compounds, such as isoflavones, which contribute to its medicinal properties.

Methodology: The study was based on the Systematic Literature Review Protocol (SLRP), establishing a framework for comprehensively reviewing scientific literature. The objective was to identify the medicinal properties of *C. guianensis* in Brazil, focusing on its potential anti-inflammatory and wound healing properties.

Results: The results of this scientific review aim to substantiate the consideration of *C. guianensis* as a potentially beneficial plant in tissue regeneration processes.

Keywords: *clitoria guianensis* (aubl.) benth var. *guianensis*, anti-inflammatory, wound healing, *clitoria ternatea*, medicinal.

GJHSS-H Classification: LCC: RS164.G84



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Felipe Oliveira Neves ^α, Magno de Oliveira ^ο, Susana Cristine Siebeneichler ^ρ, Juliana Cristina Holzbach ^ω, Jakelline Gonçalves de Andrade [¥], Raffael Batista Marques [§], Juliana Fonseca Moreira da Silva ^χ, Isabelle Lorena Alves de Souza Neves ^ν, Cristiano Esswein ^ο & Raphael Sanzio Pimenta ^ζ

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Methodology: The study was based on the Systematic Literature Review Protocol (SLRP), establishing a framework for comprehensively reviewing scientific literature. The objective was to identify the medicinal properties of *C. guianensis* in Brazil, focusing on its potential anti-inflammatory and wound healing properties.

Results: The results of this scientific review aim to substantiate the consideration of *C. guianensis* as a potentially beneficial plant in tissue regeneration processes. Although not directly addressing wound healing, it is suggested that its anti-inflammatory properties and modulation of the immune response may positively influence these processes.

Discussion: Systematic analysis provides a critical and comprehensive insight into the medicinal properties of *C. guianensis*, contributing to the understanding of its anti-inflammatory and wound healing potential. A diversified approach, integrating in vivo, in vitro, and in silico data, is essential for understanding its potential in clinical practice.

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Conclusion: This study, by conducting a systematic review of scientific literature, explored evidence related to the anti-inflammatory and wound healing potential of *C. guianensis*. Practical implications confirm the medicinal and pharmacochemical properties of this medicinal plant, revealing its chemical and therapeutic richness, and highlighting the importance of further studies. Thus, this work establishes a solid foundation for future research, advancing the understanding and therapeutic application of *C. guianensis* in medicine.

Keywords: *clitoria guianensis* (aubl.) benth var. *guianensis*, anti-inflammatory, wound healing, *clitoria ternatea*, medicinal

I. INTRODUCTION

a) Contextualization of *Clitoria guianensis* in Brazil

The *Clitoria guianensis*, commonly referred to as Vergateza, stands out as a medicinal plant with a significant presence in the Brazilian territory. Belonging to the Fabaceae family, this endemic species is distinguished by its remarkable medicinal properties, being recognized over time as an anti-inflammatory, wound-healing, and aphrodisiac agent. In the scientific realm, the chemical composition and biological activities of this plant have been meticulously explored, revealing a particular focus on the presence of flavonoids and their antioxidant potential, as evidenced by (C. L. Cunha et al., 2020a).

The study conducted by Cunha et al. (2020) proposed a comprehensive analysis of *C. guianensis*, revealing the significant presence of flavonoids in its structure. These substances, as indicated by the results, play a crucial role in the anti-inflammatory and wound-healing properties attributed to the plant (Soares et al., 2020).

Additionally, *C. guianensis* is employed in the preparation of Vergateza tea, decoctions, and infusions made from the roots and leaves (Vila Verde et al., 2003). Recognized for its sexual stimulating, tonic, and energizing effects, Vergateza tea emerges as an alternative in addressing stress, in addition to contributing to the enhancement of physical and mental performance (Vila Verde et al., 2003).

Scientific research focused on analyzing the potential of *Clitoria guianensis* as an anti-inflammatory and wound-healing agent reflects the commitment to

determining its effectiveness in the Brazilian context. These studies constitute valuable contributions to the understanding and promotion of the use of this plant in traditional and phytotherapeutic medicine in Brazil (Soares et al., 2020, 2020).

In summary, *C. guianensis* exhibits anti-inflammatory and wound-healing properties, emerging as a relevant entity in the Brazilian phytotherapeutic scenario, further corroborating its role as a fundamental ingredient in the preparation of Vergateza tea, an infusion with aphrodisiac and medicinal attributes (C. L. Cunha et al., 2020a; Soares et al., 2020; Vila Verde et al., 2003).

b) Research Justification

The research is justified by the study of *Clitoria guianensis*, a medicinal plant identified in Brazil. Although there are numerous ethnopharmacological activities associated with it, these claims lack validation in laboratory or clinical tests. *C. guianensis* is widely used by riverside populations, indigenous communities, and quilombola communities in the Cerrado biome in the state of Tocantins, being indicated as an anti-inflammatory and healing agent. The research aims to explore scientific studies and available evidence to determine the effectiveness of these medicinal properties of *C. guianensis* in the current Brazilian context in the literature. Additionally, the plant is known for its aphrodisiac properties, being used as a sexual stimulant, tonic, and energizer.

C. guianensis is a plant of the genus *Clitoria*, native to Brazil; studies demonstrate the presence of bioactive compounds, such as isoflavones, which may contribute to its medicinal properties (Soares et al., 2020). The plant is used in the form of tea, infusion, or decoction, known for its antioxidant properties, potential to alleviate respiratory symptoms, and possible diuretic action (Vila Verde et al., 2003).

However, it is important to note that pregnant or lactating women should consult a healthcare professional before using Vergateza tea (Vila Verde et al., 2003).

Certainly, the proposed research aims to deepen the understanding of the potential of *C. guianensis* as an anti-inflammatory and healing agent, seeking to contribute to the knowledge and rational use of this medicinal plant in the Brazilian context. To achieve this goal, the Systematic Literature Review Protocol (SLRP) will be adopted, establishing the structure for conducting a comprehensive literature review. The main focus will be to identify the medicinal properties of the genus and species of *Clitoria guianensis*, with special attention to its anti-inflammatory and healing potential. This systematic approach will enable the collection, analysis, and synthesis of available scientific evidence, thus contributing to the

advancement of knowledge in this specific area of phytotherapy.

II. MEDICINAL PROPERTIES OF CLITORIA GUIANENSIS

a) Chemical composition

The chemical composition of *Clitoria guianensis* includes various bioactive compounds, such as flavonoids and isoflavones (C. L. Cunha et al., 2020a). Studies demonstrate the presence of these compounds in the plant, which contribute to its medicinal properties, such as antioxidant, anti-inflammatory, and wound healing activity (Soares et al., 2020). The presence of flavonoids and isoflavones in *C. guianensis* is relevant because these compounds are associated with medicinal properties, such as antioxidant and anti-inflammatory action (M. M. F. da Cunha, 2022; Jorge & Moraes, 2022; Moraes et al., 2022). Furthermore, the plant is known for its aphrodisiac properties, being used as a sexual stimulant, tonic, and energizer (Vila Verde et al., 2003). Therefore, the chemical composition of *C. guianensis* contributes to its medicinal properties and justifies the interest in exploring its therapeutic potential.

b) Medicinal use History in Brazil

The history of medicinal plant use in Brazil is intrinsically linked to the traditions of indigenous communities that inhabited the territory before the arrival of European colonizers. Additionally, local traditional populations, such as riverside dwellers and quilombolas, descendants of enslaved peoples, stand out. Over time, these communities acquired traditional knowledge about medicinal plants empirically, transmitting this legacy from generation to generation (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Silva, 2007; Vila Verde et al., 2003).

Indigenous communities, as original holders of this knowledge, developed vast knowledge about the therapeutic properties of various plants, utilizing natural resources available to treat a wide range of ailments. Similarly, quilombolas, representing traditional populations descended from enslaved peoples, significantly contributed to the preservation and transmission of this ancestral knowledge (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Silva, 2007; Vila Verde et al., 2003).

Riverside dwellers, in turn, are communities living in areas near rivers and streams, often directly dependent on these water resources for their daily activities. These riverside populations also absorbed traditional knowledge about medicinal plants, adapting it to their context and incorporating it into healthcare practices (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Silva, 2007; Vila Verde et al., 2003).

This ancestral legacy not only shaped Brazilian phytotherapy but also influenced the cultural practices

of these communities, establishing the foundations for a holistic approach to health, where the connection between humans and nature plays a central role (Fagundes et al., 2017; Oliveira, 2008; RIBEIRO, 2010; Silva, 2007; Vila Verde et al., 2003).

With colonization, there was an exchange of medicinal knowledge between indigenous peoples and European colonizers. Many native plants began to be recorded in the early Brazilian pharmacopoeias, and gradually incorporated into therapeutic practices of the time. The syncretism between indigenous and European traditions contributed to the diversity of the repertoire of medicinal plants used in the country, marking a phase of transition and adaptation in the context of health (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Silva, 2007; Vila Verde et al., 2003).

Throughout the colonial period, healing practices based on medicinal plants were intrinsically linked to indigenous traditions but were also impacted by the arrival of European medical and pharmaceutical knowledge (Agra et al., 2007, 2008; Mattos et al., 2018). However, with the growing industrialization and the rise of Western medicine, there was a decline in the use of medicinal plants in favor of synthetic drugs. This scenario persisted for much of the 20th century (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Silva, 2007; Vila Verde et al., 2003).

In recent decades, we have witnessed a resurgence of interest in medicinal plants in Brazil. The recognition of rich local biodiversity and the rediscovery of therapeutic benefits associated with these plants have driven scientific research and clinical practices (Agra et al., 2007, 2008; Mattos et al., 2018). Currently, phytotherapy is seen as a complementary practice in the health field, integrating traditional and modern approaches to promote the preservation of ancestral knowledge and environmental sustainability. This movement aims to balance the achievements of contemporary medicine with respect for ancient traditions, valuing the diversity and effectiveness of Brazilian medicinal plants (Fagundes et al., 2017; Oliveira, 2008; G. D. Ribeiro, 2009; Vila Verde et al., 2003).

c) Medicinal use History of *Clitoria guianensis*

The history of the medicinal use of *Clitoria guianensis*, commonly known as Vergateza, dates back to traditional practices of Brazilian folk medicine, where it is employed for a variety of therapeutic purposes. The plant is often consumed in the form of tea, infusion, or decoction, standing out for its medicinal properties, which include sexual stimulant action, tonic and energizing effects, diuretic and purgative properties, as well as its effectiveness against conditions such as cystitis, urethritis, and wound healing (R. V. Ribeiro et al., 2017; Vila Verde et al., 2003).

Ethnobotanical studies reveal that the Mossâmedes community, located in Goiás, utilizes *C. guianensis* as a sexual stimulant and to treat cases of impotence, thus demonstrating its relevant role in local folk medicine (Escher, 2019; Mattos et al., 2018; Vila Verde et al., 2003).

In the study conducted by Cunha et al. (2020), an analysis of the chemical composition of the plant was carried out, employing the roots as the object of study. This analysis revealed the presence of several bioactive compounds, such as:

1. Biochanin A (Pratensein-7-O- β -D-rutinoside): Isoflavone is found in plants, especially in legumes like red clover. It possesses antioxidant properties. Studies indicate potential anticancer and anti-inflammatory effects.
2. 6-deoxyclitoriacetal 11-O- β -D-glucopyranoside: A glycoside derived from plants. Glycosides generally exhibit antioxidant and anti-inflammatory properties.
3. 6-deoxyclitoriacetal: Possible derivative of clitoriacetal. Specific pharmacological activity depends on the molecular structure.
4. (2S)-naringenin-6-C- β -D-glucopyranoside: Flavonoids are found in citrus fruits. It has antioxidant and anti-inflammatory properties. Studies relate benefits to cardiovascular health.
5. (2R)-naringenin-6-C- β -D-glucopyranoside: Similar to naringenin, but with a different molecular configuration. Potential antioxidant and anti-inflammatory properties.
6. 4-hydroxy-3-methoxyphenyl-1-O- β -D-glucopyranoside (taquioside): A glycoside containing a phenolic group. Phenolic substances often have antioxidant properties. Potential health benefits.
7. 4-hydroxy-3,5-dimethoxyphenyl-1-O- β -D-glucopyranoside (coaburaside): A phenol-derived glycoside. Possible antioxidant and anti-inflammatory activities. Beneficial health effect under study.

Many of these mentioned compounds have been described and identified in various legumes, as documented in scientific literature. These components play a significant role in studies investigating the antioxidant, anti-inflammatory, and wound healing activities of plant extracts, as evidenced by scientific research (CUNHA, 2022; RAHEJA et al., 2018; SARFRAZ et al., 2020; YU et al., 2019). This convergence between traditional knowledge and scientific understanding reinforces the importance and validity of using this plant in medicinal practice, highlighting its significant potential in the Brazilian phytotherapy scenario (R. V. Ribeiro et al., 2017).

d) *RENISUS* — *National List of Medicinal Plants of Interest to the Unified Health System.*

The National List of Medicinal Plants of Interest to the Unified Health System (RENISUS) is a Brazilian regulatory instrument aimed at establishing parameters for access, cultivation, production, and use of medicinal plants and phytotherapeutics within the context of the Unified Health System (SUS). This document represents a strategic initiative to integrate phytotherapy into primary health care, recognizing the therapeutic potential of plants as an effective and low-cost alternative for certain health conditions (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

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Primary health care plays a crucial role in the implementation of RENISUS, as it is at this level that promotion, prevention, treatment, and rehabilitation are carried out, forming the basis of the healthcare system. By incorporating phytotherapy into primary care, the aim is to offer diverse and accessible therapeutic options, meeting the needs of the community. This approach aligns with the principles of comprehensiveness, equity, and resolution advocated by SUS, promoting a holistic and culturally sensitive approach to healthcare (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

The updating of the RENISUS list reflects the commitment to incorporating new scientific evidence and monitoring the dynamics of population health demands. Additionally, it fosters research and national production of phytotherapeutics, contributing to the autonomy and sustainability of the Brazilian healthcare system. Thus, RENISUS emerges as an important regulatory instrument, strengthening the integration of phytotherapy into primary health care and promoting more comprehensive and inclusive therapeutic approaches (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

The Unified Health System (SUS) in Brazil adopts a comprehensive approach to health promotion, including the incorporation of a diversified list of medicinal plants in its therapeutic protocols. This initiative reflects not only the rich tradition of phytotherapy in Brazilian culture, but also the pursuit of accessible therapeutic alternatives culturally aligned with the population. The SUS list of medicinal plants is the result of careful technical selection, involving healthcare

experts, phytotherapists, and botanists, and is constantly updated to reflect scientific advances and traditional practices (Macedo, 2016; *RENISUS*, 2021).

The elaboration of the list follows rigorous standards, considering not only the clinical efficacy of the plants but also safety criteria, potential drug interactions, and environmental sustainability. This approach ensures that the medicinal plants recommended by SUS meet high standards of quality and safety, providing reliable therapeutic options for healthcare professionals and patients (Mattos et al., 2018; *RENISUS*, 2021).

National List of Medicinal Plants of Interest to the Unified Health System.

The National List of Medicinal Plants of Interest to the Unified Health System (RENISUS) is a Brazilian regulatory instrument aimed at establishing parameters for access, cultivation, production, and use of medicinal plants and phytotherapeutics within the context of the Unified Health System (SUS). This document represents a strategic initiative to integrate phytotherapy into primary health care, recognizing the therapeutic potential of plants as an effective and low-cost alternative for certain health conditions (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

RENISUS comprises a list of medicinal plants considered of interest to SUS, encompassing species with recognized therapeutic properties supported by scientific evidence. This list includes 71 plant species that serve as a reference for healthcare professionals in the prescription and utilization of phytotherapeutics within the scope of primary care. The inclusion of a plant in RENISUS is based on technical criteria involving the demonstration of its efficacy, safety, and quality, ensuring the integrity of phytotherapeutic treatments offered to the population (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

Primary health care plays a crucial role in the implementation of RENISUS, as it is at this level that promotion, prevention, treatment, and rehabilitation are carried out, forming the basis of the healthcare system. By incorporating phytotherapy into primary care, the aim is to offer diverse and accessible therapeutic options, meeting the needs of the community. This approach aligns with the principles of comprehensiveness, equity, and resolution advocated by SUS, promoting a holistic and culturally sensitive approach to healthcare (Macedo, 2016; Mattos et al., 2018; *RENISUS*, 2021).

The updating of the RENISUS list reflects the commitment to incorporating new scientific evidence and monitoring the dynamics of population health demands. Additionally, it fosters research and national production of phytotherapeutics, contributing to the autonomy and sustainability of the Brazilian healthcare system. Thus, RENISUS emerges as an important regulatory instrument, strengthening the integration of

phytotherapy into primary health care and promoting more comprehensive and inclusive therapeutic approaches (Macedo, 2016; Mattos et al., 2018; RENISUS, 2021).

The Unified Health System (SUS) in Brazil adopts a comprehensive approach to health promotion, including the incorporation of a diversified list of medicinal plants in its therapeutic protocols. This initiative reflects not only the rich tradition of phytotherapy in Brazilian culture, but also the pursuit of accessible therapeutic alternatives culturally aligned with the population. The SUS list of medicinal plants is the result of careful technical selection, involving healthcare experts, phytotherapists, and botanists, and is constantly updated to reflect scientific advances and traditional practices (Macedo, 2016; RENISUS, 2021).

The elaboration of the list follows rigorous standards, considering not only the clinical efficacy of the plants but also safety criteria, potential drug interactions, and environmental sustainability. This approach ensures that the medicinal plants recommended by SUS meet high standards of quality and safety, providing reliable therapeutic options for healthcare professionals and patients (Mattos et al., 2018; RENISUS, 2021).

In addition to practical application, the SUS list of medicinal plants drives scientific research, encouraging studies on bioactive compounds, mechanisms of action, and potential clinical applications of medicinal plants. This integration between clinical practice and research contributes to enriching scientific knowledge about the therapeutic properties of plants in Brazil and strengthens the scientific basis underlying phytotherapy (RENISUS, 2021).

The inclusion of phytotherapy in SUS reflects a holistic view of health, recognizing the importance of diverse therapeutic approaches. This strategy aims not only to treat diseases but also to promote prevention and well-being, aligning with the principles of comprehensiveness and universality that guide SUS. The list of medicinal plants, therefore, plays a fundamental role in diversifying and enriching the therapeutic range offered by the Brazilian public healthcare system, meeting the varied and specific needs of the population, and allowing for the integration of new plant species as per laboratory and clinical studies. (Macedo, 2016; Mattos et al., 2018; RENISUS, 2021).

e) *Preparation and Administration Methods*

The preparation and administration methods of medicinal plants and phytotherapeutics in Brazilian Primary Health Care (PHC) Integrative and Complementary Practices (ICP) encompass various techniques, such as usage in the form of teas, infusions, tinctures, syrups, ointments, among others. Phytotherapy stands as one of the cornerstones of ICP,

and medicinal plants and phytotherapy leverage the active principles present in different parts of plants, such as leaves, flowers, roots, barks, and seeds, which harbor pharmacological effects in the organism, capable of acting on diverse systems and organs (BRASIL, 2012; Novaes, 2013; *Práticas Integrativas e Complementares em Saúde*, 2022; Tesser et al., 2018).

However, it is paramount to utilize medicinal plants and phytotherapy judiciously and under professional guidance, owing to the potential for interactions with other medications or foods, allergic reactions, or undesired side effects (BRASIL, 2012; Mattos et al., 2018; Novaes, 2013; *Práticas Integrativas e Complementares em Saúde*, 2022; Vida Saudável 2023 - *Práticas Integrativas e Complementares (PIC) | Secretaria de Estado de Saúde de Minas Gerais*, [s.d.]; Tesser et al., 2018).

The National Policy on Integrative and Complementary Practices (NPICP) within the Unified Health System (SUS) encompasses guidelines and strategies for the integration of medicinal plants and phytotherapy into primary health care, aiming to ensure safe access and rational use of these practices (Antonio et al., 2013; BRASIL, 2012; Góis et al., 2016; *National Policy on Integrative and Complementary Practices in SUS celebrates 17 years, 2023; Integrative and Complementary Practices in Health, 2022; National Program of Medicinal Plants and Phytotherapeutics, 2009; Healthy Living 2023 - Integrative and Complementary Practices (ICP) | Minas Gerais State Health Department*, [n.d.]).

III. NATURAL ANTI-INFLAMMATORY

a) *Mechanisms of anti-inflammatory action*

The anti-inflammatory process in the body is characterized by the mitigation of the inflammatory response, resulting from increased production of prostaglandins, which play the role of pro-inflammatory mediators. One of the primary mechanisms to achieve this goal is the inhibition of the cyclooxygenase (COX) pathway, which instigates prostaglandin synthesis. This inflammatory phenomenon can be defined as a state in which the body finds itself when there is a conjunction of physiological, biochemical, and immunological alterations in response to harmful stimuli.

The mechanisms of anti-inflammatory action refer to the biological processes in which agents, such as drugs or natural compounds, exert effects aiming to reduce the inflammatory response. One of these predominant mechanisms consists of inhibiting the COX pathway, responsible for inducing prostaglandin synthesis, pro-inflammatory mediators. Nonsteroidal anti-inflammatory drugs (NSAIDs), for example, act by selectively inhibiting COX, thereby decreasing prostaglandin production and consequently mitigating the inflammatory response associated with phenomena



such as pain and edema. This therapeutic approach proves essential for managing clinical conditions where inflammation is a relevant component (Batlouni, 2010; Mendes et al., 2012).

Another mechanism of anti-inflammatory action involves the modulation of pro-inflammatory cytokines, such as tumor necrosis factor-alpha (TNF-alpha) and interleukin-1 beta (IL-1beta) (Batra et al., 2018; Inácio, 2023). Agents that inhibit the production or action of these cytokines have demonstrated efficacy in attenuating inflammation. Biological drugs, such as TNF inhibitors, exemplify this approach by specifically blocking this inflammatory pathway.

Furthermore, some anti-inflammatory compounds act by inhibiting phospholipase A₂, an enzyme involved in the release of arachidonic acid, a precursor of prostaglandins. By blocking this step, the availability of substrate for the synthesis of pro-inflammatory mediators is reduced (Mendes et al., 2012).

Antioxidant mechanisms also play an important role in the anti-inflammatory action. Substances with antioxidant properties, such as vitamins C and E, as well as polyphenolic compounds present in plants, neutralize free radicals, reducing oxidative stress associated with chronic inflammation (Alves et al., 2010; Batlouni, 2010).

Finally, modulation of the immune response, especially the regulation of inflammatory cells such as macrophages, is another mechanism of anti-inflammatory action (Batra et al., 2018). Compounds that regulate the activation and function of these cells play a crucial role in modulating the inflammatory response, contributing to the effective resolution of the inflammatory process.

b) Relevance in the Medical Context

Understanding the mechanisms of anti-inflammatory action is of paramount importance in the medical context, as inflammation is associated with a variety of pathological and chronic conditions. The ability to modulate these mechanisms has led to significant advances in the development of effective therapies for inflammatory diseases such as rheumatoid arthritis, inflammatory bowel disease, and autoimmune conditions (Batra et al., 2018; Freitas et al., 2019; Inácio, 2023).

In the realm of chronic diseases, inflammation plays a crucial role in the development and progression of conditions such as cardiovascular disease, atherosclerosis, type 2 diabetes, and cancer. Understanding the molecular mechanisms that perpetuate these inflammatory states allows for the development of more targeted and effective therapeutic interventions, contributing to a more personalized and preventive approach to the treatment of these ailments (Alves et al., 2010; Batlouni, 2010; Batra et al., 2018; Freitas et al., 2019; Inácio, 2023).

Furthermore, the relevance of anti-inflammatory mechanisms is evident in acute situations such as traumatic injuries or infections, where the inflammatory response is a fundamental part of the body's defense. Agents that modulate inflammation without excessively suppressing the immune response become valuable tools for optimizing healing, reducing tissue damage, and improving clinical prognosis (Freitas et al., 2019; Inácio, 2023).

In the context of preventive medicine, understanding and applying anti-inflammatory strategies are fundamental to address risk factors related to diet, lifestyle, and aging that contribute to chronic inflammation. This integrated approach not only improves quality of life but also has the potential to prevent the development of chronic diseases associated with inflammation (Alves et al., 2010; Freitas et al., 2019).

In summary, understanding the mechanisms of anti-inflammatory action plays a crucial role in advancing medical practice, directly influencing therapeutic and preventive approaches in a variety of clinical conditions. The ongoing development of therapies targeting these mechanisms promises to positively impact the management of inflammatory diseases, providing significant benefits to patients and public health overall (Alves et al., 2010; Freitas et al., 2019; Inácio, 2023).

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IV. TISSUE HEALING AND REGENERATION

a) Influence of *Clitoria guianensis* on Healing

The influence of *Clitoria guianensis* on tissue healing and regeneration is of interest due to the presence of bioactive compounds that may play a significant role in these processes. Among the compounds identified in the roots of *C. guianensis*, an isoflavonoid called pratensein-7-O- β -D-rutinoside [(–)-7-O- α -L-rhamnopyranosyl(1 \rightarrow 6)- β -D-glucopyranosyl-5,3'-dihydroxy-4'-methoxyisoflavone] stands out, along with other known compounds such as biochanin A-7-O- β -D-rutinoside, 6-desoxyclitoriacetal 11-O- β -D-glucopyranoside, 6-desoxyclitoriacetal, (2S)-naringenin-6-C- β -D-glucopyranoside, (2R)-naringenin-6-C- β -D-glucopyranoside, tachioside, and koaburide (Cunha et al., 2022; Soares et al., 2020).

These components, including flavonoids, have been identified in previous studies and have demonstrated effective inhibition of the DPPH radical, as observed in other published research. The presence of these compounds in *Clitoria guianensis* suggests potential antioxidant properties, which have direct implications in modulating the healing and tissue regeneration process (C. L. Cunha et al., 2020a; M. M. F. da Cunha, 2022; Moraes et al., 2022; Soares et al., 2020).

Flavonoids, a group that includes the isoflavonoid pratensein-7-O- β -D-rutinoside in particular, are known for their anti-inflammatory and antioxidant properties. These compounds demonstrate the ability to modulate the inflammatory response, reducing the production of pro-inflammatory mediators and contributing to the regulation of the healing process (C. L. Cunha et al., 2020b; M. M. F. da Cunha, 2022; Moraes et al., 2022).

b) Tissue Regeneration Processes

Compounds identified in *Clitoria guianensis*, such as pratensein-7-O- β -D-rutinoside, biochanin A-7-O- β -D-rutinoside, (2S)-naringenin-6-C- β -D-glucopyranoside, (2R)-naringenin-6-C- β -D-glucopyranoside, may influence regeneration processes as they are linked to a large class of flavonoids (C. L. Cunha et al., 2020b; M. M. F. da Cunha, 2022; Dornas et al., 2007; Fernandes et al., 2019).

V. SCIENTIFIC STUDIES AND EMPIRICAL EVIDENCE

a) *In Vitro* and *In Vivo* Studies

A thorough analysis of the scientific literature has revealed a significant amount of *in vitro* and *in vivo* studies related to the *Clitoria* genus. However, there is a notable scarcity of specific studies on *Clitoria guianensis* and its bioactive compounds, especially regarding their anti-inflammatory and wound-healing activities. These *in vitro* studies often directly explore the influence of these

compounds on cell cultures, while *in vivo* studies focus on examining the effects of these substances on whole organisms.

Nevertheless, it is imperative to emphasize the lack of specific studies dedicated to *Clitoria guianensis*, demanding a more focused approach to the anti-inflammatory and wound-healing properties of this species. The scarcity of specific evidence underscores the pressing need for additional research to fill this knowledge gap and provide a more comprehensive understanding of the therapeutic potential of this plant in the context of tissue regeneration.

b) Results and Relevant Conclusions for this Review

The results of this scientific review aim to establish a solid foundation for considering *Clitoria guianensis* as a potentially beneficial plant in tissue regeneration contexts. Although the research does not specifically address the role of *C. guianensis* in wound healing, it is possible to infer that these plants may have similar effects on healing and tissue regeneration processes due to their anti-inflammatory properties and ability to modulate the immune response, considering the phytochemicals discovered in this specimen. However, further research is imperative to determine the exact role of *C. guianensis* in these processes.

Thus, this systematic review meets the demand for a more comprehensive understanding of the biological activities of *C. guianensis* through scientific studies and empirical evidence, providing a detailed overview of the therapeutic potential of this plant and its bioactive compounds. The urgency of conducting further studies involving the specimen in different contexts, including *In vitro*, *In vivo*, and *in silico* approaches, is emphasized.

This emphasis on diversifying research methods aims to deepen knowledge of the properties of *C. guianensis*, especially regarding its anti-inflammatory and wound healing activities. The inclusion of *In vitro* studies allows for a more detailed analysis of the underlying molecular mechanisms, while *In vivo* studies will contribute to a more integrated understanding of effects on whole organisms. Additionally, conducting *in silico* studies through computational modeling can provide valuable insights into its ecological interactions and therapeutic potential in real-world conditions.

By emphasizing the importance of continuity and expansion of these investigations, the goal is not only to fill existing knowledge gaps but also to establish a solid foundation for future clinical applications and the development of therapies based on different extracts and compounds identified in *C. guianensis* for therapeutic purposes.

VI. METHODOLOGY

This study was based on the development and organization of protocols for systematic reviews of the scientific literature, as described below

a) Systematic Literature Review Protocol (SLRP)

The Systematic Literature Review Protocol (SLRP) establishes the framework for conducting a comprehensive literature review aimed at identifying the medicinal properties of the genus and species *Clitoria guianensis* in Brazil, with a focus on its anti-inflammatory and wound healing potential.

The steps followed included the identification and selection of relevant databases, such as PubMed,

JSTOR, Scielo, Google Scholar, and Lilacs. Subsequently, search strategies were developed using terms related to keywords such as *Clitoria guianensis* (Aubl.) Benth var. *Guianensis*, Anti-inflammatory, Wound healing, *Clitoria ternatea*, Medicinal, and Brazil.

Studies were selected based on predefined inclusion and exclusion criteria. Following selection, the quality of included studies will be assessed using appropriate tools.

Subsequently, the results of the included studies were synthesized and analyzed to identify emerging trends and patterns. Analyses were conducted to quantify the association between the variables of interest.

SYSTEMATIC LITERATURE REVIEW PROTOCOL (SLRP)

I. Identify the Problem to be Addressed through the Review

- I.1 Identify keywords
- II.2 Consult databases
- III.3 Validate data
- IV.4 Analyze data
 - I.4.1 Inclusion Criteria
 - II.4.2 Exclusion Criteria

II. Presentation of Results

- I.1 Structure Database Management System
- II.2 Plan graphical representation of data
- III.3 Plot graphs

III. Conclusions

- I.1 Discussion of results depicted in graphs
- II.2 Conclusions.

b) Objective

Example:

This Systematic Literature Review Protocol (SLRP) presents the framework for conducting the

literature review stage on the comprehensive evidence regarding the medicinal properties of the genus and species *Clitoria guianensis*: A Systematic Analysis of its Anti-inflammatory and Wound Healing Potential.

i. Team

Table 1: Responsible Team

Name	Role	Affiliation
Magno De Oliveira	Author, responsible for methodology, and project co-supervisor.	Federal University of Tocantins (UFT)
Felipe Oliveira Neves	Principal author of the article and a reviewer.	Federal University of Tocantins (UFT)
Isabelle Lorena Alves de Souza Neves	Article author, also acting as a reviewer.	Gurupi University (UNIRG)
Raphael Sanzio Pimenta	Article author, reviewer, and project supervisor.	Federal University of Tocantins (UFT)
Susana Cristine Siebeneichler	Article author and reviewer.	Federal University of Tocantins (UFT)

Cristiano Esswein	Article reviewer and translator.	Sacramento State University - California, USA
Jakelline Gonçalves de Andrade	Article author and reviewer.	Federal University of Tocantins (UFT)
Raffael Batista Marques	Article author and reviewer.	Federal University of Tocantins (UFT)
Juliana Fonseca Moreira da Silva	Article author and reviewer.	Federal University of Tocantins (UFT)
Juliana Cristina Holzbach	Principal author and primary article reviewer.	Federal University of Tocantins (UFT)

Each member plays a specific role in the project, contributing their skills and knowledge to achieve the proposed objectives. The authors are responsible for the conception and development of the work, while the reviewers are tasked with evaluating and enhancing its content. The supervisors provide

guidance and oversight to the project (article), ensuring its quality and compliance with academic standards. Additionally, the translator is tasked with ensuring the accessibility of the work to an international audience, if necessary.

c) Search Strategy

i. Research Question or Main Inquiry

Example: What are the published articles presenting anti-inflammatory and wound healing activities with the *Clitoria guianensis* specimen?

Table 2: Description of Research Criteria

Criteria	Description
<i>Clitoria guianensis</i>	Comprehensive evidence on the anti-inflammatory and wound healing potential with the specimen <i>Clitoria guianensis</i> .
Intervention	Review and separation of studies demonstrating the type and effectiveness of techniques proving the anti-inflammatory and wound healing potential with the specimen <i>Clitoria guianensis</i> .
Control	Articles demonstrating effective results of the anti-inflammatory and wound healing activity using different extracts of the specimen <i>Clitoria guianensis</i> .
Outcome	Statistics of articles that may contribute or be considered independent of dates, with effective contribution to the applicability of techniques focusing on studies with the specimen <i>Clitoria guianensis</i> .
Application Context	Grounding the potential pharmacological and clinical anti-inflammatory and wound healing activities of the specimen <i>Clitoria guianensis</i> .

Table 3: Research Questions

Question	Question Description
P1	Which species was used?
P2	What technique was employed?
P3	In vitro test?
P4	In vivo test?
P5	In silico test?
P6	What are the evidence of success and failure of techniques using extracts from the medicinal plant <i>Clitoria guianensis</i> ?





ii. *Database Foundations and Source Research Methods*

Sources available on the web, preferably in scientific databases focused on Health Sciences and Biological Sciences, without excluding others of an interdisciplinary nature.

Databases related to control articles will be mandatory included. Different sources from the web may also be included provided they meet the requirements for this Systematic Review.

- The searching process begins with the definition of keywords;
- The second step involves the insertion of a keyword string into search routines for each database;
- Specialist software for Systematic Review will be used for initial storage (Article Population);
- Sampling will occur through the application of pre-

iii. *The scientific databases to be researched*

Pubmed, Jstor, Scielo, Google Scholar, And Capes Journals and Lilacs

iv. *Search Terms*

defined Inclusion and Exclusion criteria, as well as through sub-processes of qualitative filtering of the material in the Article Population repository.

- The article qualification sub-process will involve differentiation by assigning different weights to articles that include:
 - Keywords in the *Title* (Weight 15)
 - Keywords in the *Abstract* (Weight 10)
 - Keywords in the *Key-words* item (Weight 5)
- After qualification, an abstract analysis will be performed to assess the relevance of the work, selecting those accepted for a complete reading. The rest will be rejected. Thus, the analysis of (I) Inclusion and (E) Exclusion criteria will be repeated for each analyzed work.

Chart 1: Termos de Busca

Term Principal	Alternative I	Alternative II	Alternative III	Alternative IV	Alternative V
Clitoria	Clitoria guianensis	Vergateza	Traditional	Clitoria ternatea (L.)	Clitoria guianensis (Aubl.) Benth var.
Pharmacology	Antioxidant	Antidiabetic	Anticancer	Immunomodulatory	Lipid reduction
	Antimicrobial	Anti-inflammatory	Hepatoprotective	Gastroprotective	Anti-arthritis
Tests	In silico	In vitro	In vivo		

v. *Languages*

English, Spanish, and Portuguese

vi. *Generic search strings*

Chart 2: Generic search strings according to each database

Database	Adapted / Utilized String
PUBMED	("Clitoria" OR "Clitoria ternatea (L.)" AND "Pharmacology" OR "Antioxidant" OR "Antidiabetic" OR "Anticancer" OR "Immunomodulator" OR "Antimicrobial" OR "Anti-inflammatory" OR "Hepatoprotective" OR "Test" OR "in-silico" OR "in-vitro" OR "in-vivo" OR "in-silico") FILTERS Filters applied: Abstract, Free full text, Full text, from 1905 - 2024. TOTAL ARTICLES: 10
JSTOR	("Clitoria" OR "Clitoria guianensis" OR "Clitoria ternatea" OR "guianensis") FILTERS ACCESS TYPE: Everything See all results, including content you cannot download or read online; CONTENT TYPE Academic content: Journals (1,194); DATA: 1905-2024; LANGUAGE: English (1.082); Spanish; Castilian (75); Portuguese (37). TOTAL ARTICLES: 35



SCIELO	("Clitoria" OR "Clitoria guianensis") FILTERS Selected filters, Collections: All, Journal: All, Language: All, Year of publication: All, SciELO Thematic Areas: All, WoS Thematic Areas: All, WoS Citation Index: All, Citables and non-citables: Citable, Literature type: All. TOTAL ARTICLES: 39
CAPES JOURNALS	("Clitoria" OR "Clitoria ternatea (L.)" AND "Pharmacology" OR "Antioxidant" OR "Antidiabetic" OR "Anticancer" OR "Immunomodulator" OR "Antimicrobial" OR "Anti-inflammatory" OR "Hepatoprotective" OR "Test" OR "in-silico" OR "in-vitro" OR "in-vivo" OR "in-silico") FILTERS Articles; Peer-reviewed journals; Open Access; Biological and Medical Sciences; Life Sciences & Biomedicine; Years: 1905-2024; English, Portuguese, Spanish. Selected the top 50 result(s). TOTAL ARTICLES: 50
GOOGLE SCHOLAR	("Clitoria" OR "Clitoria ternatea (L.)" AND "Pharmacology" OR "Antioxidant" OR "Antidiabetic" OR "Anticancer" OR "Immunomodulator" OR "Antimicrobial" OR "Anti-inflammatory" OR "Hepatoprotective" OR "Test" OR "in-silico" OR "in-vitro" OR "in-vivo" OR "in-silico") FILTERS Specific period: 1905-2024. Selected the top 50 result(s) / 5 first pages of Google Scholar TOTAL ARTICLES: 50
LILACS	("Clitoria" OR "Clitoria guianensis") FILTERS Full text: Available; Database: LILACS; Language: English, Portuguese Specific period: 1905-2024. TOTAL ARTICLES: 22
Total Reports Found in Databases	206

vii. Inclusion Criteria

Table 3: Inclusion Criteria

Criterion	Description of Inclusion Criterion
CI1	Presence of keywords in the Title
CI2	Presence of keywords in the Abstract
CI3	Presence of keywords in Keywords
CI4	Identification in the abstract or conclusions of application with the <i>Clitoria guianensis</i> specimen.
CI5	Application of <i>in vitro</i> tests
CI6	Application of <i>in vivo</i> tests
CI7	Application of <i>in silico</i> tests
CI8	Conclusion of success or failure of application of <i>in vitro</i> , <i>in vivo</i> , or <i>in silico</i> tests

viii. Criteria of Exclusion

Table 4: Exclusion Criteria

Criterion	Description of Exclusion Criterion
CE1	Literature review
CE2	Descriptive bibliographic reviews
CE3	Systematic reviews with or without meta-analysis
CE4	Article lacks any <i>in silico</i> , <i>in vitro</i> , or <i>in vivo</i> testing
CE5	Article lacks a study involving a specimen of <i>Clitoria guianensis</i>
CE6	Study article unrelated to anti-inflammatory or wound healing activity
CE7	Study article involving a specimen of <i>Clitoria ternatea L.</i>

a. Definition of Accepted Study Categories in RSLI

This study delineates the primary article categories to be selected during the execution of the systematic review:

- (a) Experiments
- (b) Clinical Trials
- (c) Case Reports

Based on the keywords, search strings will be constructed and submitted to major databases. The identified articles will be listed, and their titles, abstracts, and keywords will be reviewed for suitability against the

inclusion and exclusion criteria. Articles meeting the protocol's criteria will be selected, while those not meeting the criteria will be excluded.

ix. *Criteria of Quality*

Table 5: Quality criteria of retrieved studies.

Criterion	Description of Quality Criterion
CQ1	Presence of keywords in Title (Yes, No)
CQ2	Presence of keywords in Abstract (Yes, No)
CQ3	Presence of keywords in Keywords (Yes, No)
CQ4	Identification of <i>in silico</i> techniques (Yes, No)
CQ5	Identification of <i>in vitro</i> techniques (Yes, No)
CQ6	Identification of <i>in vivo</i> techniques (Yes, No)

a. *Quality form fields*

Table 6: Quality form fields

Field	Choice List
Presence of Keywords in Title	Yes, No
Presence of Keywords in Abstract	Yes, No
Presence of Keywords in Keywords	Yes, No
Identification of at least one of the techniques as <i>in vivo</i> , <i>in vitro</i> , or <i>in silico</i> with specimens of <i>Clitoria guianensis</i>	Yes, No

b. *Extraction of information*

Once the primary studies have been selected, the extraction of relevant information commences. In this section of the protocol, qualification criteria are applied and sampling results occur through the selection of articles according to the regulations. The process continues until the objective of analyzing the abstract and conclusions of each study is achieved.

It is suggested that a second person or even the supervisor be involved in this phase for better research direction. Utilizing selection options for extraction according to the topics listed below, to qualify extraction criteria.

Type: *Pick on the list; Pick on Many; Text (Open text field).*

Table 7: Extraction Criteria Fields

Field	Type	Content
Keywords present	<i>Pick from list</i>	{Title; Abstract; Keywords}
Name of the Identified Technique.	<i>Pick from list</i>	{ <i>in silico</i> ; <i>in vitro</i> ; <i>in vivo</i> }
Summary of the conclusion, in words.	<i>Pick on list</i>	{ <i>Clitoria guianensis</i> }
Study identified with a specimen of the genus <i>Clitoria guianensis</i> .	<i>Pick on list</i>	{Yes, No}

d) *Publication Selection Process*

Initially, the adapted Search Strings are executed in each of the databases. From the list of returned studies, the results will be exported in BibTeX

format for importation into the auxiliary tool, in this case, Rayyan.ai.

During the selection phase, the analysis of each title of each study will be conducted, discarding those

that are clearly unrelated to the search strategy or do not meet the Inclusion Criteria, Quality Criteria, or are related to the defined Exclusion Criteria. Studies excluded at this stage are stored and will not proceed to the subsequent phases.

The list of selected works is subjected to the Extraction phase. In this second step, the abstract and conclusions of each study are analyzed. Based on this reading, the Inclusion, Exclusion, and Quality criteria are reassessed. The result is the complete list of studies.

In this stage, the researcher reads the studies assigned to them in full, evaluates the quality of the studies, and extracts basic study characterization data, as well as specific data related to research questions, updating comment fields and attaching the complete work files.

Once the data extraction is completed, the subsequent steps correspond to the analysis, interpretation, and documentation of the results, with the drafting of a review article presenting the results, methods, and techniques adopted from the Systematic Literature Review, which was utilized for the production of the scientific article.

IV. RESULTS

For the identification of articles on the subject, a search was conducted in the CAPES Periodicals database. The entire screening process is depicted in the flowchart in Figure 1.

Scientific reports discussing studies involving the specimen *Clitoria guianensis* involved searching for terms listed in Table 1, following the generic search strings outlined in Table 2. Thus, the following filters were applied during the search process: applied filters: year: 1905–2024, availability: open access, article type: articles, subject: *Clitoria guianensis*, languages: Portuguese, English, and Spanish, results per year: 1905–2023.

Following the consultation of the databases and the implementation of the search strategy, duplicated studies across different databases were identified using the Rayyan software.

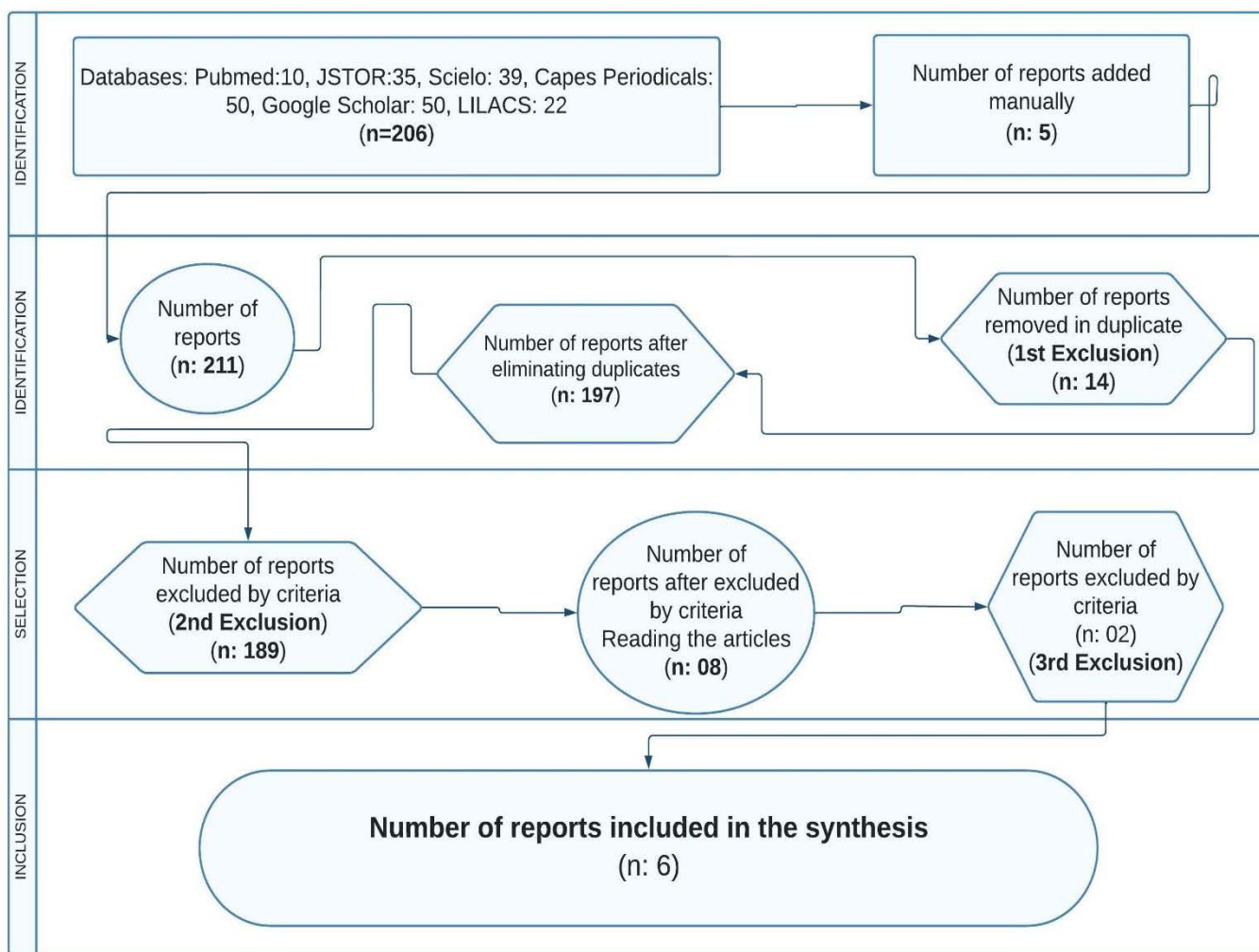
The inclusion criteria for articles were: Original research articles, with an emphasis on identifying the medicinal properties of the genus and species of *Clitoria guianensis* in Brazil, particularly concerning its anti-inflammatory and wound healing potential. Thus, article categories encompassing experiments, clinical trials, or case reports, distributed across various research areas, were considered. This broad approach allowed for the inclusion of studies pre-installed and installed in Portuguese, English, and Spanish, aligning with the specific scope of this systematic review.

Excluded articles were grouped into the following categories: Duplicates, irrelevant, review articles, and other publication formats (such as announcements,

short communications, perspectives, letters), as well as articles in other languages.

Upon initial analysis, as shown in the flowchart in Figure 1, a total of 206 records were identified in the previously chosen databases, with an additional 5 manually added articles, totaling 211 reports. In the first exclusion phase, 16 duplicates were removed, leaving 197 reports at the end of this identification stage. Following the removal of duplicate articles, exclusion criteria were applied, as shown in Table 4. With the application of exclusion criteria to the remaining 197 reports, 189 reports were excluded in the second exclusion phase, leaving 8 original research articles. In the third exclusion phase, upon reviewing the remaining 6 reports, 3 reports were eliminated, resulting in the inclusion of 5 original articles in the synthesis of this work, wherein these articles report on the use of the *Clitoria guianensis* (Aubl.) Benth var. specimen in their research.





Source: Authors (2023)

Figure 1: Flowchart for identification and selection of articles

The flowchart outlines the process of identification, selection, and inclusion of reports, presenting a concise and organized overview. It commences with the identification across selected databases, including PubMed, JSTOR, Scielo, CAPES Journals, Google Scholar, and LILACS, totaling 206 records. Subsequently, five articles are manually added, totaling 211 reports.

In the first stage of exclusion, 14 duplicates are removed, resulting in 197 reports. Subsequently, exclusion criteria are applied, eliminating 189 reports in the second exclusion, leaving eight reports. In the third exclusion, two reports are removed, resulting in six original research articles.

These six reports undergo scrutiny, and since none are excluded, all are included in the final synthesis. The flow concludes with the presentation of six original articles related to *Clitoria guianensis*. This simplified visual representation provides a clear and efficient understanding of the process of screening and inclusion of reports in the final synthesis.

Table 3 of this synthesis offers a comprehensive compilation of articles related to the study of *Clitoria guianensis*, specifically addressing various aspects related to the plant. Among these articles, the research by Cruz et al., 2023, stands out for its in-depth analysis of the diastereoisomers (2S) and (2R)-naringenin-6-C-β-D-glucopyranoside, isolated for the first time from *Clitoria guianensis*, using density functional theory.

The study by Boaes et al., 2019, also deserves attention for investigating the identification of new natural products from the cultivation of the endophytic fungus *Diaporthe sp.*, isolated from *Clitoria guianensis*. This work highlighted the plant-microorganism interaction, emphasizing the biotechnological potential of the species. It is noteworthy that, even without a direct focus on the plant itself, the study emphasizes the importance of the plant-microorganism interaction in the production of bioactive compounds.

These works significantly contribute to the understanding of *Clitoria guianensis*, offering valuable insights both in the realm of chemistry, through the

exploration of specific compounds, and in the biotechnological perspective, by demonstrating the relevance of the relationship between the plant and its associated microorganisms in the production of

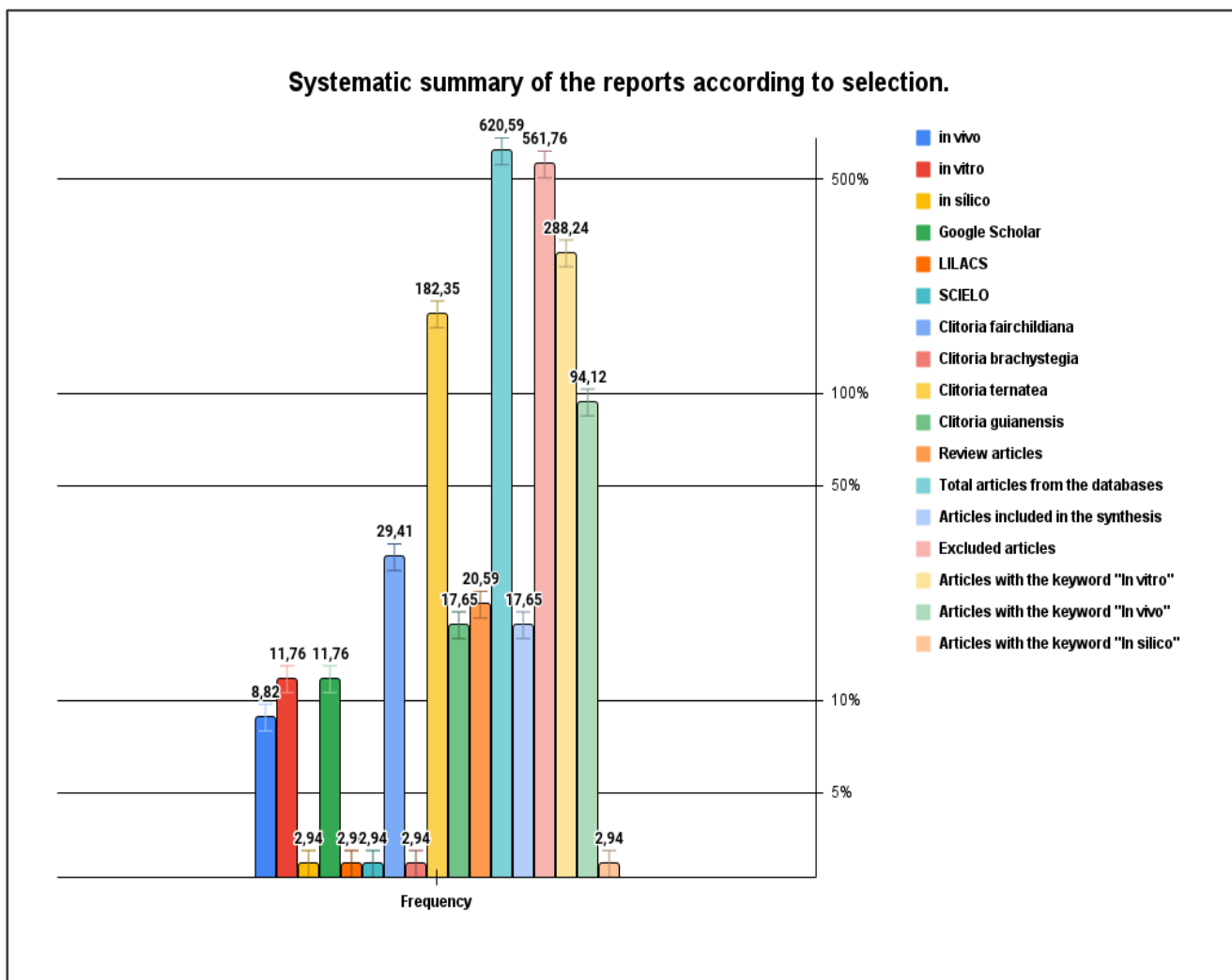
bioactive substances. This integrated approach demonstrates the complexity and multifaceted potential of *Clitoria guianensis* as a subject of scientific study.

Table 3: Listing of articles included in the synthesis

N.º	Keyword	Country	Database	Is special attention dedicated to the examination of its anti-inflammatory and healing potential?	Identification of at least one of the techniques as in vivo, in vitro, or in silico with specimens of <i>Clitoria guianensis</i> ?	Relevance	Reference
				"Yes" or "No"	"Yes" or "No"		
1	<i>Clitoria guianensis</i>	Brazil	SCIELO	NO	YES	This study constitutes the first phytochemical report on <i>Clitoria guianensis</i> (Aubl.) Benth var. Guianensis. The notable toxicity evidenced in the extract and fractions against <i>Artemia salina</i> suggests the presence of bioactive compounds of considerable potency. Of particular note is the identification of the novel compound pratensein-7-O-β-D-rutinoside, alongside the already known biochanin A-7-O-β-D-rutinoside, marking the first time that isoflavones have been identified in the genus <i>Clitoria</i> . The isolation of compounds 1 to 8 contributes significantly to the phytochemical understanding of the genus <i>Clitoria</i> , expanding the knowledge of the chemodiversity of natural products originating from the Brazilian Cerrado biome.	(C. L. Cunha et al., 2020b) CUNHA
					IN VIVO, IN VITRO		
2	<i>Clitoria guianensis</i>	Brazil	LILACS	NO	YES	The chromatographic fractionation of the ethyl acetate extract (EtOAc) from the leaves of <i>C. guianensis</i> resulted in the isolation of kaempferitrin, representing the first report of this compound in the <i>Clitoria</i> genus. The hexane and EtOAc fractions of <i>C. guianensis</i> leaves exhibited high toxicity, whereas the crude ethanol extract of <i>C. guianensis</i> showed moderate toxicity against <i>A. salina</i> , suggesting the presence of bioactive compounds.	(De Sousa et al., 2023)
					IN VIVO, IN VITRO		
3	<i>Clitoria guianensis</i>	Brazil	Google Scholar	NO	YES	The study addresses <i>Clitoria guianensis</i> Benth, a plant native to the Brazilian Cerrado with medicinal potential. Its cultivation in nurseries was evaluated, testing various substrates. It was observed that in some treatments, the plant followed the annual cycle, while others interfered with it. The use of ravine soil as a substrate is suggested, despite its low nutrient content, due to its adaptability. However, it is emphasized that substrates containing non-mineralized organic matter interfere with the natural growth cycle of the plant.	(MARQUES et al., 2019)
					IN VIVO		



4	<i>Clitoria guianensis</i>	Brazil	Google Scholar	NO	YES	<p>This study aimed to identify new natural products through the cultivation of microorganisms, employing strategies such as OSMAC, under varying fermentation conditions. Three crude extracts (A, B, and C) from the endophytic fungus <i>Diaporthe</i> sp., isolated from <i>Clitoria guianensis</i>, were analyzed using HPLC-DAD and RMN-1H. Differences in the production of secondary metabolites were observed in different culture media, with extract C exhibiting the highest diversity. All crude extracts demonstrated antioxidant activity and positive allelochemical effects. Flavones, flavonols, and xanthenes were identified in all extracts, alkaloids in extracts A and C, and steroids and triterpenoids in extract C. The study highlights the extensive biosynthetic capacity of fungi, revealing potential new compounds with distinct biological properties.</p>	(Boaes et al., 2019)
					IN VITRO		
5	<i>Clitoria guianensis</i>	Brazil	Google Scholar	NO	IN VITRO	<p>Roots and leaves were extracted with ethanol and partitioned with different solvents. The resulting fractions were evaluated for the presence of secondary metabolites, highlighting flavonoids, tannins, steroids, and saponins. All leaf fractions exhibited effective inhibition of the DPPH radical, with the ethyl acetate fraction demonstrating the highest antioxidant activity (IC50 46.3 µg/ml). This antioxidant activity is correlated with the content of flavonoids and tannins in the fraction.</p>	(Soares et al., 2020)
6	<i>Clitoria guianensis</i>	Brazil	Google Scholar	NO	YES	<p>This study addressed the diastereoisomers (2S) and (2R)-naringenin-6-C-β-D-glucopyranoside, first isolated from <i>Clitoria guianensis</i>, utilizing density functional theory. Both exhibited the same energy gap (166.61 kcal mol⁻¹), with distinct bond lengths between the chiral carbon and the phenolic group, the latter being greater in the S diastereoisomer (difference of 0.0126 Å). The S diastereoisomer showed a shorter retention time (16.7 min) in HPLC, indicating higher polarity. Results from molecular electrostatic potential revealed higher global electronegative density in the S configuration, particularly within the glucose molecule. Reactivity indices suggested that both are electrophiles and reactive species. Absolute configuration was determined via electronic circular dichroism spectroscopy (ECD), with theoretical spectra closely resembling experimental data.</p>	(Cruz et al., 2023)
					IN SILICO		



Source: Authors (2023).

Figure 2: Frequency of reports according to systematic selection.

The articles selected and included in the systematic literature review of this study, as demonstrated in Figure 2, present data analysis revealing a diversified distribution of studies on the *Clitoria* genus, including studies on the *C. guianensis* specimen, encompassing *in vivo*, *in vitro*, and *in silico* methodologies.

Regarding *in vivo* studies, De Sousa et al. (2023) contribute 8.82% and 2.94% respectively, underscoring the importance of investigations involving the plant's interaction directly with living organisms. Marques et al. (2019) also explore *in vivo* aspects, addressing the cultivation of *C. guianensis* in different substrates, providing a practical perspective on its medicinal potential.

In the *in vitro* context, Cunha et al. (2020b) and De Sousa et al. (2023) each present a contribution of 11.76%, while Boaes et al. (2019) and Soares et al. (2020) contribute 2.94% each. These studies offer a more detailed understanding of the effects of *C. guianensis* at the microbiological level, enabling more

controlled and specific evaluations, leaving a future gap of necessary studies with human and animal cells.

The *in silico* analyses, conducted by Cruz et al. (2023) and Marques et al. (2019), represent 2.94% and 11.76%, respectively. The *in silico* approach is fundamental for understanding molecular interactions and predicting possible effects before conducting *in vivo* and *in vitro* experiments.

When observing studies providing a broader perspective, the relevance of *in vitro* research is highlighted, comprising 288.24%, indicating a significant emphasis on this modality. The significant number of articles included in the synthesis (17.65%) demonstrates the growing importance and the need for more original studies with the *C. guianensis* specimen in scientific investigations.

Regarding keywords, the results indicate a predominance of *in vitro* studies, followed by *in vivo* and *in silico* research. This inclination suggests an emphasis on exploring the effects of *C. guianensis* at the cellular level, especially in cultures. This underscores the future

need for *in vivo* investigations, such as in human and animal cell cultures, and *in vitro* studies, covering microbiology, fungi, bacteria, and yeasts. This approach is crucial for validating and translating such findings into clinical practice.

In summary, the diversity of methodological approaches reflects the complexity of the medicinal properties of *C. guianensis*, providing a solid foundation for future research and emphasizing the importance of an integrated approach that combines *in vivo*, *in vitro*, and *in silico* data.

V. DISCUSSION

Table 3 presents a listing of articles included in the synthesis for investigating the medicinal properties of *C. guianensis*, focusing on the systematic analysis of its anti-inflammatory and wound healing potential. The study encompassed searches across different databases, notably SCIELO, LILACS, and Google Scholar, with special attention to identifying techniques such as *in vivo*, *in vitro*, or *in silico* involving specimens of *C. guianensis*.

The selected articles address various aspects, from novel phytochemical reports to studies on cultivation and toxicity, providing a comprehensive overview of the plant's medicinal properties. The first article (Cunha et al., 2020b) highlights the notable toxicity evidenced in the extract, suggesting bioactive compounds of considerable potency, while also identifying isoflavones in the *Clitoria* genus for the first time. The second study (De Sousa et al., 2023) identifies 25 substances, including *Ouratea spectabilis* and Kaempferitrin for *C. guianensis*, demonstrating moderate toxicity against *Artemia salina*, while the third (Marques et al., 2019) solely addresses the cultivation of the plant in different substrates.

The remaining articles explore *in silico*, *in vitro*, and *in vivo* aspects. Cruz et al.'s (2023) study utilizes density functional theory to analyze diastereoisomers, while Boaes et al. (2019) aim to identify new compounds from the cultivation of microorganisms associated with *Clitoria guianensis*, highlighting the extensive biosynthetic capacity of fungi. Soares et al. (2020), on the other hand, investigate phytochemical and antioxidant properties, demonstrating the inhibitory efficacy of the DPPH radical.

This systematic analysis provides a comprehensive and critical insight into the medicinal properties of *C. guianensis*, contributing to understanding its anti-inflammatory and wound healing potential, as well as for future research in this context.

The detailed analysis of data from studies on the medicinal properties of *C. guianensis* reveals a diversified and comprehensive approach regarding its potential as a drug, considering the phytochemicals present and their pharmacological actions as

documented in the scientific literature. The variety of methodologies, such as *in vivo*, *in vitro*, and *in silico*, highlights the complexity and scope of scientific research involving this plant.

In the realm of *in vivo* studies, the significant contributions of Cruz et al. (2023) and De Sousa et al. (2023), with 8.82% and 2.94% respectively, underscore the importance of investigations directly addressing the interaction of *C. guianensis* in living organisms. Although Cruz et al.'s (2023) study is not directly related to *in vivo* experiments, its findings provide a solid foundation that may stimulate and guide further investigations into *Clitoria guianensis* in this context. Thus, despite not focusing on *in vivo* studies, Cruz et al.'s (2023) work opens valuable perspectives for a broader and deeper understanding of the properties and potential effects of the plant on living organisms, expanding the horizon for future research. Marques et al.'s (2019) study, exploring the cultivation of the plant in different substrates, adds valuable practical perspectives to the *in vivo* context.

In the realm of *in vitro* studies, research conducted by Cunha et al. (2020b) and De Sousa et al. (2023), each contributing 11.76%, along with Boaes et al. (2019) and Soares et al. (2020), both contributing 2.94%, provide an in-depth analysis of the various extracts and organs of the *C. guianensis* plant. These studies offer insights into the potential effects of the plant, establishing a theoretical basis for future investigations in human cells, animals, fungi, and bacteria. These approaches provide more controlled and specific evaluations, playing a crucial role in understanding the potential medicinal benefits of *C. guianensis*.

Marques et al.'s (2019) analyses highlight important approaches for understanding interactions, behavior, and reproduction of the specimen in vegetation hollows and plant cell cultures. This methodology proves fundamental in the efficient planning of future studies.

Cruz et al. (2023) conducted a theoretical and experimental investigation of diastereoisomers of a specific substance extracted from the *C. guianensis* plant. The main objective was to deepen the understanding of the chemical and structural properties of these compounds, with an emphasis on stereochemistry and glycosylation. This study did not focus on analyzing the biological activity of the diastereoisomers, but rather on the analysis of their molecular structure and characteristics that may influence chemical aspects. The theoretical approach enabled predictive analysis, while experiments provided concrete data, resulting in a more comprehensive and integrated understanding of the diastereoisomers in question.

The importance of Cruz et al.'s (2023) work lies in its valuable contribution to advancing research in

phytochemistry, medicinal chemistry, and pharmacology, offering crucial insights for identifying therapeutic targets, drug development, or potential medical applications. Furthermore, it is noteworthy that the research may have significant implications for the valorization and sustainable exploitation of natural resources, such as the medicinal properties of *C. guianensis*, although specific biological activity was not the central focus of the study.

Observing the studies, the relevance of *in vitro* research is evident, representing 288.24%, with no cell studies, only one microbiological study with fungus. This indicates a significant emphasis on this modality, reflecting the growing importance of *Clitoria guianensis* in scientific investigations for other tests.

Regarding keywords, the predominance of *in vitro* studies, followed by *in vivo* and *in silico*, suggests a trend of exploring the effects of *C. guianensis* at the cellular level, with the need for *in vivo* research highlighted to validate and translate these findings into clinical practice.

In summary, the diversity of methodological approaches reflects the complexity of the medicinal properties of *C. guianensis*, providing a solid foundation for future investigations. This integrated approach, combining *in vivo*, *in vitro*, and *in silico* data, is essential for a comprehensive understanding of the anti-inflammatory and wound healing potential of this plant in clinical practice.

VI. CONCLUSION

The present review has explored and discussed comprehensive evidence regarding the potential anti-inflammatory and wound-healing properties of the medicinal properties of *Clitoria guianensis*, as per the literature of the compounds identified in studies with the specimen and the findings thereof. Six articles addressing studies involving the specimen *C. guianensis* were identified and selected, utilizing the Rayyan tool as a methodological support.

In recapitulating the relevant findings of this systematic analysis, the diversity of approaches is highlighted, ranging from phytochemical reports to studies on toxicity, cultivation, and *in silico*, *in vitro*, and *in vivo* analyses. The presence of bioactive compounds in the roots of *Clitoria guianensis* (Aubl.) Benth var. *Guianensis* (Fabaceae) was investigated, resulting in the isolation of various compounds, including the isoflavone called pratensein-7-O- β -D-rutinoside, biochanin A-7-O- β -D-rutinoside, 6-deoxyclitoriacetal 11-O- β -D-glucopyranoside, 6-deoxyclitoriacetal, (2S)-naringenin-6-C- β -D-glucopyranoside, (2R)-naringenin-6-C- β -D-glucopyranoside, taquioside, and coaburaside. The structures of these compounds were confirmed through various analytical techniques, including specific rotation ($[\alpha]_D$), circular dichroism (CD), ultraviolet (UV), infrared

(IR), 1D and 2D nuclear magnetic resonance (NMR), and mass spectrometry (MS).

The practical implications for the clinical area reveal the chemical richness and therapeutic potential of *C. guianensis*, especially in antioxidant and allelochemical activities. The moderate toxicity evidenced in some studies signals the need for caution, while the inhibitory efficacy of the DPPH radical suggests a possible role as an anti-inflammatory agent.

For future research, a more in-depth investigation of the identified compounds is recommended, exploring their mechanisms of action and potential synergies. The critical analysis highlights the importance of clinical studies validating *in vitro* and *in vivo* findings, contributing to an effective translation of these results into clinical practice. Thus, this systematic study establishes a solid foundation for subsequent research on the anti-inflammatory and wound-healing potential of the medicinal properties of *C. guianensis*, promoting significant advances in the understanding and therapeutic application of this plant in the context of medicine.

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Creation of Humankind and the Gender Debate: Re-Reading Genesis 1:26-28 and 2:18-24 and its Implications for Christians in Kumasi Society

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Abstract- The Kumasi society of Ghana is influenced by Christianity and the Asante culture which affects gender roles in their family life, church and society. Women are often subordinated to men in these gender roles due to religious and cultural reasons. The traditional roles of men and women have been challenged by growing feminist movements that aim to empower women in modern times. This brings up questions about the traditional patriarchal norms of Christianity in societies and the reinterpretation of sacred texts that impede gender equality. Despite varying interpretations, an exegetical analysis of Genesis 1:26 and 2:18-14 suggests that these texts promote gender equality. Kumasi society has also made strides towards gender-based equality in contemporary times through female education, single parenting, wider economic roles of women, and the ordination of women as priests despite the patriarchal norms of Christianity and the Asante culture. Nuances of Genesis 1:26-28 and 2:18-24 endorse gender equality and must inform and guide Christians of contemporary Kumasi society in championing gender equality in family, church and society.

Keywords: *creation, genesis, old testament, gender equality, gender debate, asante.*

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Abstract- The Kumasi society of Ghana is influenced by Christianity and the Asante culture which affects gender roles in their family life, church and society. Women are often subordinated to men in these gender roles due to religious and cultural reasons. The traditional roles of men and women have been challenged by growing feminist movements that aim to empower women in modern times. This brings up questions about the traditional patriarchal norms of Christianity in societies and the reinterpretation of sacred texts that impede gender equality. Despite varying interpretations, an exegetical analysis of Genesis 1:26 and 2:18-14 suggests that these texts promote gender equality. Kumasi society has also made strides towards gender-based equality in contemporary times through female education, single parenting, wider economic roles of women, and the ordination of women as priests despite the patriarchal norms of Christianity and the Asante culture. Nuances of Genesis 1:26-28 and 2:18-24 endorse gender equality and must inform and guide Christians of contemporary Kumasi society in championing gender equality in family, church and society.

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I. INTRODUCTION

Ghanaian society has been characterized by a patriarchal culture where men are the primary providers and women are tasked with domestic management. These operative assumptions have perpetuated a system of gender injustice in Kumasi, leaving women underrepresented in the family, church, and society. In the political arena, the precedent of a woman becoming a national president in Ghana is yet to be set and women in parliament are numerically lower than men. In the economic sector, the number of men in white-collar jobs and those in technical professions far outweighs that of women. In some churches, women are sidelined in leadership positions with the Catholic and the Seventh-day Adventist church yet to ordain a female priest.

Women have limited rights in education, technical training, property inheritance, service rewards,

and decision-making at family and societal levels.¹ Thus, women are often subordinated to men in family and society due to religious and cultural reasons. The interpretations of Judeo-Christian scriptures, such as Genesis 1-2, support male dominance in the home, church, and society.² Kumasi society, heavily influenced by Christian beliefs and practices, is not immune to the impact of sacred scriptures promoting male dominance. Although the Asante culture of Kumasi recognises the important role of women in society, including the influential position of the queen-mother, some adages highlight male dominance, such as “if a woman owns a gun, it lodges in a man’s room” and “a woman sells garden eggs but not gunpowder”. These adages affirm the dominance of men over women in family life and society. Given this, Kumasi society is influenced by Christianity and Asante culture which affect gender roles in both family and society. Women are often subordinated to men in these traditional gender roles.

The traditional gender roles of men and women in family, church, and society have been contested by the increasing feminist movements seeking to empower women. This raises questions about the traditional patriarchal norms of Christianity in societies and the reinterpretation of sacred texts such as Genesis 1-2, which are seen as hindering gender equality.³ Various interpretations of the texts have been given by scholars, which either impede or endorse gender equality in family life, church, and society.⁴ Scholars belonging to the complementarian ideology traditionally interpret Genesis 1 and 2 to support hierarchically gendered roles. However, they sharply contrast with the egalitarians who

¹ Anne Mikkola et al, “Development and Gender Equality: Consequences, Causes, Challenges and Cures Development and Gender Equality” *Helsinki Center of Economic Research* 159, no. 17 (2007): 1. Accessed July 13, 2017. <https://ethesis.helsinki.fi/julkaisut/eri/hecer/disc/159/developm.pdf>.

² Paul Rastara and Daniel Bediako. Man and Woman in Genesis 1-3: Ontological Equality and Role Differentiation, (2013): 1. Accessed October 28, 2016. <https://www.adventistarchives.org/man-and-woman-in-genesis-one-thruthree.pdf>

³ Michael Stitzinger, “Genesis 1-3 and The Male / Female Role Relationship,” *Grace Theological Journal* 1 (1981): 27. Accessed October 24, 2016. [Faculty.gordon.edu/hu/bi/ited_hildebrandt/.../Stitzinger-Gen-1-3-GTJ-1981.htm](https://www.gordon.edu/hu/bi/ited_hildebrandt/.../Stitzinger-Gen-1-3-GTJ-1981.htm).

⁴ Paul Ratsara and Daniel Bediako. Man and Woman in Genesis 1-3: Ontological Equality and Role Differentiation, (2013): 1. Accessed October 28, 2016. <https://www.adventistarchives.org/man-and-woman-in-genesis-one-thruthree.pdf>

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argued for gender equality of the man and woman right from their creation in the Genesis creation account.⁵ Raday asserts that religious texts and norms, particularly those of Christianity, have an impact on how people see gender roles in society.⁶ Consequently, it is essential to comprehend the unique roles God intended for man and woman, as enshrined in Genesis 1:26-28 and 2:18–24. These two texts are analysed to come to a solid grasp of the appropriate roles of men and women in society and their implications for Christians in the Kumasi metropolis.

This paper adopts an interdisciplinary approach, combining Biblical theology with Sociology. Resorting to an exegetical analysis of Genesis 1:26-28 and 2:18-24, it deduces the proper roles God designed for men and women in family life, church and society in the creation narratives of the Judeo-Christian scripture. It further examines factors influencing gender roles among Christians in Kumasi society and the implications of the two pericopes of the biblical text for gender equality in Kumasi society. Qualitative data on the determination of gender roles in Kumasi society was gleaned from expert interviews with ten Christian leaders of different denominations in Kumasi. A set of hundred questionnaires with open-ended questions was also distributed to some selected Christians in various denominations in Kumasi to solicit their views on gender roles in family life church and society. Using the thematic approach, the primary data were qualitatively analyzed, and juxtaposed with the secondary data obtained from views of scholars on the subject matter. The study also draws implications from the exegetical analysis of the two pericopes in informing and guiding gender roles in family life, church and society of Kumasi.

II. CREATION OF HUMANKIND AND THE GENDER DEBATE

Christians have employed the Bible over the centuries for guidance on varied issues, many of which have sparked heated debates.⁷ Debates surrounding these issues remain unabated and in many parts of the world, one of these is the contentious issue of gender roles in the church and society. As the Bible remains the authoritative scripture for Christians, Genesis 1 and 2

have become the sources of reference for the gender debate in support of or against gender equality.

In opposing gender equality, some arguments are put forward by scholars through the utilization and interpretation of Genesis 1 and 2. Polydrous, for instance, reviewed the works of Milton about the interpretation of the image of God in Genesis 1:27 and debunks Milton's view that man's status is elevated based on his nearness to God's image which effectively diminishes woman's status.⁸ Milton was strongly convinced by St. Paul's position that "the woman is not primarily and immediately the image of God but the man".⁹ However, critical study of the text brings to light that the woman was primarily part of the image of God as the use of the terminology, *'ādām*, about the creation of humanity in the image of God in Genesis 1:27, is a generic term that stood for both the male and female. It is therefore stated categorically in the text, "male and female, he created them".

Trible asserts that the creation of the woman finally happens in the Yahwist account of creation, after the making of the garden, the man, trees, and animals.¹⁰ Consequently, some biblical commentators claim female subordination based on the chronology of these events.¹¹ According to Tribble, these commentators argue that the Priestly account espouses the egalitarianism of the sexes because both the man and woman are created simultaneously, whereas the Yahwist account makes a woman a lesser and inferior sex because she is created after the man.¹² However, the argument of these commentators that the woman is inferior to the man according to the Yahwist account can be rebutted on the basis that the trees and the animals would also be superior to the woman since they were all created before the woman.

Froula endorses the traditional interpretations of Genesis 2 that impede gender equality and asserts that Adam's authority and superiority are derived from his act of naming the animals in the absence of Eve.¹³ Thus, the subordination of the woman can be confirmed because the authority to name the animals was solely bestowed upon the man.¹⁴ She argues further that in the Yahwist account of creation, God creates man first and prohibits him from eating from the Tree of Knowledge of good

⁵ Luis Dizon, Hansie Fernandes and Robert Grooves. *Complementarian and Egalitarian Approaches to Biblical Theology within Evangelical Protestantism*, (2013): 3.

⁶ Frances Raday, "Culture, Religion, and Gender." *International Journal of Constitutional Law* 1, no. 4 (2003): 655.

⁷ Emmanuel Kojo Ennin Antwi, "Church Involvement in the Transatlantic Slave Trade: Biblical Antecedent vis-à-vis the Society's Attitude to Wealth." *Studia Historiae Ecclesiasticae* 44, no 2 (2018), 4-5; Chimwemwe Harawa-Katumbi, "The Bible, gender equality and teaching theology in Malawi." 2010, 1. Accessed October 17, 2016. <http://academic.sun.ac.za/teologie/netact/genderequality2011/new/Ch9Bible&GenderMalawi-Katumbi.pdf>.

⁸ Desma Polydrous, "Gender and Spiritual Equality in Marriage: A Dialogic Reading of Rachel Speght and John Milton." *Milton Quarterly* 35, no. 1 (2001): 23.

⁹ Polydrous, "Gender and Spiritual Equality in Marriage", 23.

¹⁰ Phyllis Tribble "Depatriarchalizing in Biblical Interpretation." *Journal of the American Academy of Religion* 41, no. 1 (1973): 35. Accessed November 16, 2016 <http://www.jstor.org/stable/1461386>

¹¹ Tribble "Depatriarchalizing in Biblical Interpretation." 35.

¹² Tribble "Depatriarchalizing in Biblical Interpretation." 35.

¹³ Christine Froula "Rewriting Genesis: Gender and Culture in Twentieth-Century Texts." *Tulsa studies in women's literature* 7, no. 2 (1988): 199.

¹⁴ Froula, "Rewriting Genesis: gender and culture in twentieth-century texts." 199.

and evil even before the woman comes into being. The woman, meanwhile, is not only formed second but formed from the rib of Adam, and the rib as the “male womb” affirms the origin of humanity out of the male spirit, hence the woman’s subordination to the man.¹⁵ Froula in her view, interprets Genesis 2 to promote gender inequality using the naming of the animals solely by the man and the creation of the woman from the man as her basis.

Aside from these interpretations which elevate the status of a man as against that of a woman, other interpretations seek to bring the woman at *par* with the man. In contrast with Froula’s views, Galinski perceives the rib as a symbol of equality between the man and the woman and has nothing to do with the subordination of the woman to the man in their relationship.¹⁶ Drawing upon Galinski’s view, one can note that the rib depicts equality of the sexes with further insight provided in subsequent arguments. Galinski, further asserts that as to the woman owing her existence to the man because of her being created from his rib, it is worthy of note that God without any aid, did the creation. God created the man from dust first and subsequently created the woman from the man’s rib when he put him into a deep sleep.¹⁷ Given this, deriving the woman out of the man does not imply subordination but affirms the purpose for which she was created. Thus, she was created from and for man to fulfil the perfection and goodness of God’s creation that “it is not good for the man to be alone” in Genesis 1: 18.

Drawing upon Galinski’s position, Joyce takes the argument further by asserting that the creator formed the woman from substance gained from the side of the man.¹⁸ This consequently had nothing to do with ribs. Moreover, nowhere did the Hebrew language use *šēlāc* for rib as in the Old Testament. *Šēlāc* is translated as “side”, “corner” and “chamber” in its 49 occurrences in the Old Testament.¹⁹ In this regard, material for the creation of the woman suggests equality of the sexes owing to its interpretation by Joyce as the side and not the rib.

One pertinent interpretation of Genesis 2:18 that supports gender equality was put forward by Eichler. According to him, the word *‘ezer* never refers to a person of subordinated position, as it appears 19 other times in the Old Testament. While it is always

appropriate to interpret it as “help” or “helper”, *‘ezer* implies a helper who delivers or rescues or a person who is even superior to the one being helped. The word *neged* (*kāneḡdō*), combined with *‘ezer*, also suggests equality, thus a helper who is a counterpart.²⁰ This implies that the woman was created as a counterpart of the man based on the nuances of *‘ezer* and *kāneḡdō* as it is used about the creation of the woman.

The above arguments explain whether subordination or equality was the original relationship that existed between the man and the woman in the creation narratives of Genesis. The divergent interpretations either promote or impede gender equality. The subsequent section would then offer readings into the text to establish whether the texts promote or impede gender equality.

III. GENDER ROLES IN THE CREATION NARRATIVES: SUBORDINATION OR EQUALITY

The above section has shed light on the role of Judeo-Christian scriptures in the gender debate and scholars have consequently polarized the interpretations of Genesis 1-2 to either support or debunk patriarchy. This section examines the texts to assess their diverse scholarly interpretations, deducing the respective roles of the man and the woman so far as Genesis and the gender debate are concerned.

a) Genesis 1:26-28

The narrator opens Genesis 1:26-28 with a statement *wayyōmer ‘ēlōhīm nāqāšē^b ‘ādām*. It is translated as “and God said, let us make humankind”. This indicates the Creator’s declaration of his intention to create humankind. *‘ādām* denotes humankind, male and female, as evident in its relation to *zākār* (male) and *ūnāqēbā^b* (female) in Genesis 1:27. Its appearance in Genesis 5:2 depicts the same sense. It is attested in Genesis 5:2 that God created them, male and female, blessed them, and called their name *‘ādām*. It is important to note that *‘ādām* is referring to both the male and the female in this context and not exclusively to the male. This then differs from its usage in the context of Genesis 2 where *‘ādām* with the definite article refers to “the man” and for that matter exclusively the male.

God’s intention to create humankind in Genesis 1:26 is seen in the dominion mandate. Humankind was created to rule over all other creations. *wayyirdū* in Genesis 1:26 is the phrase that depicts the divine and cultural mandate bestowed upon *‘ādām* (humankind) to rule over creation, following the Creator’s declaration of his intention to create them as discussed.

²⁰ Raanan Eichler, “Gender Equality at Creation” *The torah*, 2016. Accessed on Monday, 10 October 2016. <https://thetorah.com/gender-equality-at-creation/>.

¹⁵ Froula, “Rewriting Genesis: gender and culture in twentieth-century texts.” 199.

¹⁶ Les Galicinski, “Gender Issues in Genesis 1-3,” 1997, 6. www.Depositsoffait.com/papers/Gender%20Issues%20in%20Genesis%2013.pdf

¹⁷ Les Galicinski, “Gender Issues in Genesis 1-3,” 6.

¹⁸ The Lord God then took woman from the side of man, a beautiful type and shadow as the church came from the side of Christ. Cf. Pat Joyce, “God’s Original Intention for Man and Woman,” *God’s Word to Women*, 2005. Accessed 10 October 2016. http://godwordtowomen.org/genesis1_2.htm

¹⁹ Joyce, “God’s Original Intention for Man and Woman,” *God’s Word to Women*, 2005.

wāyirdū appears jussive in meaning and a Hebrew compound of *waw* particle conjunction with the *Qal* imperfect 3rd person masculine plural of the verb *rādā* (rule). According to Gesenius, the jussive with the *waw* in conditional sentences depending on an imperative or cohortative expresses an intention or an assurance of a contingent occurrence as in Genesis 24:51; "Take her and go, and let her be".²¹ In this context, *wāyirdū* is a verbal compound of the contingent occurrence, dependent upon its preceding expression whose verb appears in a cohortative sense as *nqāse*^h. Thus, in Genesis 1:26, the Creator declares his intention to create humankind, followed by a conditional statement of humankind having to rule over His creation with *wāyirdū* the verbal phrase of the conditional statement.

It has been concluded with the affirmation thereof that God's purpose in creating humankind is to rule over the whole of His creation: the universe. Though the universe in its Hebrew form is not mentioned in the narrative, the literary style of Merismus is adopted in expressing it. The reason why *haššāma yim*, *hayyām*, and *hā'āreš* are mentioned in Genesis 1:26 is to represent the universe but enumerating on its parts (the heavens, the sea, and the earth) and therefore create what is called a merismus.²² According to Willem, whether *'ereš* means earth or land is a subject of controversy, however, the expression *kol-hā'āreš* frequently means the whole earth, rather than just the whole land. When combined with *haššāma yim* (heavens), the phrase "heaven and earth" expresses the totality of the created order; thus, the universe, as the opening verse of Genesis succinctly expresses it.²³ The narrator then adopts the literary style of merismus to identify the universe with the mentioning of *haššāma yim*, *hayyām*, and *hā'āreš* and the care for the universe is entrusted to the man.

The purpose of the creation of humankind is thus to rule over the universe: to be its steward. Furthermore, this divine mandate is not exclusively given to the male. Still, both the male and the female, hence the verbal phrase, *wāyirdū* appears in the plural form comprising both male and female and the use of *'ādām* likewise connotes both male and female.

b) Genesis 2:18-24

Genesis 2:18-24 commences with a statement from the Creator expressing His thoughtfulness about the man and his loneliness in the garden. This occasioned the creation of the woman to salvage the

man's loneliness and to complete creation since creation would not have been complete if the man had been without a companion. The woman in the context is referred to as *'ēzer kaneḡdō* and the combination of *'ēzer* and *kaneḡdō* implies a helper counterpart. *'ēzer* connotes "help," "support," or "succour."²⁴ It occurs 20 times in the Old Testament and it is predominantly used about Israel's God. 13 of its occurrences in the Old Testament relate to declarations concerning God's ability to save or deliver.²⁵ Its distinctive usage in Genesis 2:18 implies the Lord God declares that it is not good for man to be alone and therefore should be given a helper counterpart (*'ēzer kaneḡdō*). The helper counterpart in this context has to do with the woman, whom the Lord declares his intention to create for creation to fully achieve its purpose of completion, resonating with the idea that "it is not good for the man to be alone and therefore must be given a helper counterpart". For the Lord God to fully complete his creation in Genesis 2, he must create for man a helper counterpart. The phrase *'ēzer kaneḡdō* communicates this idea of the helper counterpart. The woman then becomes an indispensable equal companion of the man and therefore not his subordinate.

For the man to appreciate the gift of the woman from God, he first created the animals to mimic the man's companion. However, the man realized the futility of the animals to be his companion after he had named them. *wayyiqra' hā'ādām šēmōt* is a phrase that indicates Adam naming the animals in Genesis 2:20 and translated as "and the man gave names". *wayyiqra'* functions as a transitive verb with *hā'ādām*, the subject, and the pronominal direct object is *šēmōt* (names). The verb *qārā'* is joined with *šēm* in any context of the Old Testament to form the expression "to name or to call a name to".²⁶ In this context, it refers to the man without the woman giving befitting names to the animals after God had created the animals. Waltke opines that the man assumes the headship role as he names the animals by the cultural mandate in Genesis 1:26. This sole mandate to name the animals in the absence of the woman depicts the man's imitation of God as he brings the world under his dominion.²⁷ The phrase then depicts humankind's authority over the animals.²⁸ However, some commentators, according to Froula, argue that the man names the animals before the creation of the woman as he asserts his authority over creation and this implies the subordination of all creation to him including

²⁴ Brown, Francis. *The Brown-Driver-Briggs Hebrew and English Lexicon*. (Peabody, Mass.: Hendrickson Publishers, 1996): 740.

²⁵ VanGemeren, Willem. *New International Dictionary of Old Testament Theology* (Michigan: Zondervan Grand Rapids, 1997): 378.

²⁶ VanGemeren, *New International: Dictionary of Old Testament*, vol 3, 147.

²⁷ Bruce Waltke, *Genesis: A Commentary* (Michigan: Zonderan, 2001): 88.

²⁸ Nahum Sarnah, the JPS Torah Commentary, 13.

²¹ Wilhelm Gesenius, *Gesenius' Hebrew Grammar/edited and enlarged by E. Kautzsch* (New York Mineola: Dover publication 2006): 109.

²² Old Testament Studies blog, "Exegesis of Genesis 1:26-28". Accessed October 20, 2016. <https://otrmin.wordpress.com/2009/06/24/exegesis-of-genesis-126-28/>.

²³ VanGemeren, Willem. *New International Dictionary of Old Testament Theology vol 1*. (Michigan: Zondervan Grand Rapids, 1997): 519.

the woman since he had solely fulfilled the cultural mandate to dominate creation in the absence of the woman.²⁹ However, one would better appreciate the equality of the man and woman if he or she grasps the nuance of helper counterpart in Genesis 1:18, which depicts the purpose of the creation of the woman. Thus, the woman was created as a helper counterpart of the man and therefore not a lesser inferior being.

After the creation and the naming of animals in Genesis 2:20, the helper counterpart the man desires to have could not have been identified with any of these animals. There must therefore be a new act of creation for creation to fully fulfil its purpose of goodness as the Creator intended it to be, hence declaring that it was not good for man to be alone in Genesis 2:18. God then caused a deep sleep to fall upon the man and from his side, he formed the woman in Genesis 2:21. According to Sarnah, the Hebrew word, *tardēma*^h refers to a divinely-motivated heavy sleep and it has a dual function in its usage in the context of rendering the man insensitive to the pains of the surgery and unconscious as God is at work.³⁰ Sleep in the Old Testament signified inactiveness or passiveness.³¹ This implies that man had no role to play so far as God's creation is concerned as witnessed by the Yahwist account. The man must therefore recognize the sovereignty of his creator and that he is a creature and not a creator. His dominion over other creatures comes from God. However, his superiority over the woman must be disclaimed since he had no role to play in her creation but it was solely the work of the Creator with the divine purpose of being his helper counterpart and not his subordinate.

The clause, *wayyiben yhwah (ādōnāy) ʾēlōhīm ʾet-haššēlāʿ* in Genesis 2:21 denotes the creation of the woman from the side of the man after he had been put into a deep state of unconsciousness. It can be perceived here that the woman was created out of the man's side but not rib because *šēlāʿ* denotes "side" in the architectural design of the ark in Exodus 25:12 and the side chambers of the temple in 1 Kings 6:5. It also occurs twice in our text under study to denote the part of the man's body used to form the woman. The modern versions of the Bible such as the Revised Standard Version and the King James Version use the word about the rib in the creation of the woman in Genesis 2. As to whether either *šēlāʿ* is about rib or side, it theologically connotes physical union and signifies that the woman is the man's companion and partner, ever at his side.³² The woman is therefore created with materials from the

side of the man to imply equality neither from his feet nor his head to signify subordination or authority.

After the creation of the woman in Genesis 2:23, the man celebrates her as a gift to him from the Creator.³³ He expresses his joy at seeing the woman that she is his bone of bones and flesh of flesh: the one who would do for him all that other creatures cannot do. The poem expresses the equality of the man and the woman as expressed in the phrase *ʿešēm mēʿāšāmay ūbāsār mibbāsārī* translated as "bone of my bones and flesh of my flesh".³⁴ It is obvious then that both the man and the woman are created equal in the sense that they are of the same substance, "bone of my bones and flesh of my flesh" and this therefore depicts their equality in all senses.

The "poetic naming" of the woman by the man after the creation of the woman in Genesis 2: 23, follows the preceding ecstatic mood of the man and his expression of their semblance when he first saw her. However, the "poetic naming" in its Hebrew form as *lāzōʾī yiqqārē ʾiššā*^h translated as "of this one it will be called woman" does not necessarily mean the man was naming his wife which comes after the fall and for this reason the authority of the man over the woman in the Yahwist account of creation.³⁵ As earlier mentioned in the process of naming in the Old Testament, the one who names is superior to the one named. However, one cannot at all place the man's naming of the woman in this context at par with its naming of the animals in Genesis 2:20.³⁶ In the naming of the animals, there is a clear mention of *qārā*^h and *šēm*, which are combined in any context of the Old Testament, as in the naming of the animals, to imply the act of naming.³⁷ However, in this context, there is the usage of *yiqqārē*, *Niphal* imperfect third masculine singular, without the mentioning of *šēm*. In Hebrew syntax, *Niphal* imperfect is used in the reflexive sense to allow something to be done to someone in a futuristic tense.³⁸ The nuance of the usage of the *Niphal* imperfect therefore implies that the man was not naming the woman but discerning his close identity with her in contrast to Genesis 3:20 where the *Qal* perfect is used and where the actual naming occurred.

²⁹ Alter, Robert. "Genesis, Commentary to Chapter 2:4-24", 2005, 1. Accessed July 13, 2017. http://www.shammai.org/genesis_2_comments.pdf.

³⁰ Bruce Walke, Genesis: A Commentary (Michigan: Zondervan, 2001), 89.

³¹ George Ramsey, "Is Name-Giving an Act of Domination in Genesis 2: 23 and Elsewhere?" *The Catholic biblical quarterly* 50, no. 1 (1988): 24. <https://www.jstor.org/stable/43717586> Accessed March 20, 2018.

³² Efthimiadis-Keith: "Genesis 2:18-25 from a Jungian and Feminist Deconstructionist Point of View1," 59.

³³ VANGemere, *New International: Dictionary of Old Testament Theology and Exegesis*, vol 4, 147.

³⁴ Bruce K. Waltke and M. O'Connor, *An Introduction to Biblical Hebrew Syntax*. (Winona Lake-Indiana: Eisenbrauns, 1990), 379.

²⁹ Froula, "Rewriting Genesis: Gender and Culture in Twentieth-Century Texts," 199.

³⁰ Sarnah, "the JPS Torah Commentary", 13.

³¹ Emmanuel Kojo Ennin Antwi, *The Book of Jonah in the Context of Post-Exilic Theology of Israel: An Exegetical Study*, (St. Ottilien: EOS), 2013, 147-148.

³² Sarnah, "the JPS Torah Commentary", 13.



It can be deduced from Genesis 1:26-28 that the divine mandate to rule over the universe was given to both the man and the woman suggesting egalitarianism of the sexes since both were created with an equal status of dominating and subduing creation. The text never mentioned that the male alone is the crown of creation in the universe. Genesis 2:18-24 also suggests both equality and complementarity of the sexes as the woman was created to complement the man and this complementarity must be understood in the light of equality due to the nuance of *‘ezer kaneġdō*, implying a helper counterpart.

IV. DETERMINANTS OF GENDER ROLES AMONG CHRISTIANS IN KUMASI SOCIETY

Gender is a social construct that is defined by the roles, behaviours, and expectations assigned to males and females based on biological, socio-cultural, and religious factors. Although humans are biologically male and female, society imposes specific behaviours and roles on each sex to differentiate them. To be considered a man or woman, one must behave and perform certain roles that distinguish them from the opposite sex. These gender roles are heavily influenced by biological factors and the culture or religion of the society. Determinants of gender roles among Christians in Kumasi society, like in many other societies, are influenced by a complex interplay of cultural, religious, socioeconomic, and historical factors.

In traditional Ghanaian societies such as the Asante and Ewe, gender-specific roles are assigned to boys and girls from infancy, leading to a different upbringing for each gender and a lack of equal opportunities for girls even in adulthood.³⁹ However, urbanization and social change in Kumasi have enabled women to perform roles that were traditionally considered male-only, and given them equal opportunities in various sectors. Participants reported a significant shift in Kumasi society from the past, where gender roles were strictly defined. Meritocracy dictates the assignment of roles, and individuals are given opportunities based on their abilities and skills, regardless of their gender. Jobs typically associated with the male gender such as masonry, carpentry, and driving have been pursued by some women after receiving technical training in these professions. Education has led to the emergence of opportunities for women in white-collar jobs such as banking, teaching, law, and health sectors. Kumasi society has experienced a significant shift from traditional gender roles to a meritocratic society that allows individuals to pursue roles based on their abilities and skills,

regardless of gender. There are therefore changing perceptions about the division of roles where women were assigned to domestic responsibilities while men dominated in public affairs.

Lambert has identified cultural factors as major roadblocks to achieving gender equality and promoting female education in Ghana.⁴⁰ Particularly, the Asante culture did not encourage the education of girls and women therefore promoting gender inequality in the Kumasi society. A popular local adage, "Obaa de ne bukase," which translates to "the place of the woman is the kitchen," further reinforces the notion that women should not be formally educated. However, the promotion of female education in Kumasi has allowed some women from both Asante and Christian backgrounds to occupy higher positions in economic, political, and social institutions that were previously dominated by men. While men still hold a dominant position in all aspects of life in Ghana, the study found that some women have also gained access to these roles. For example, at the time of the study, the regional director of education in the Ashanti region was a woman.

According to Tsikata, the financial responsibilities in the distribution of household expenses usually fall on men in most Ghanaian households.⁴¹ The traditional Asante culture places most of the household chores and child-rearing responsibilities on women, while men are considered breadwinners. However, in contemporary Kumasi society, some women have also started taking responsibility for household expenses. Therefore, financial responsibility has become a shared responsibility among some couples due to the wider economic roles of women and their employment in various economic sectors. Additionally, single parenting has led to both men and women performing both motherly and fatherly roles due to the absence of a partner resulting from divorce, death, or geographical migration.

In the religious context, Stiles-Ocran argues that traditional norms of Christianity allowed men to hold influential positions in both family and public life as well as in the church, while women have been excluded from leadership positions, particularly from official positions that require ordination.⁴² However, interviews with some selected Christian leaders in various Christian denominations in Kumasi revealed that churches in

⁴⁰ Megan Lambert et al, "Understanding the Barriers to Female Education in Ghana," 2012, 3. www.bluekitabu.Org/blue-kitabu-research-instit/understanding_the_barriers.pdf Accessed on October 13, 2016.

⁴¹ Dodzi Tsikata, "Affirmative Action and the Prospects for Gender Equality in Ghanaian Politics," *Abantu, Women in Broadcasting and the Friedrich-Ebert-Stiftung*, (2009): 22. <http://library.fes.de/pdf-files/buero/s/ghana/10484.pdf>. Accessed on October 13, 2016.

⁴² David Stiles-Ocran, "Jesus' Kingdom Message and Ghana's New Christianity: a Contextual Approach to the Praxis of the Kingdom of God," (MA thesis: University of Oslo faculty of theology, 2013), 8.

³⁹ Victor Gedzi, Principles and Practices of Dispute Resolution in Ghana Ewe and Akan Procedures on Females' Inheritance and Property Rights, (PhD thesis, Erasmus University Rotterdam, 2009), 85.

Kumasi society held varying views on how Christianity affects the roles of women in family life, church, and society. Some churches, like the Seventh-day Adventist Church, held traditional views of Christianity that believed that women should be subordinate to men in the home, church, and society. On the other hand, some churches, such as the Assemblies of God Church, believed in gender equality in society and the church, but not in the marital relationship. This means women can head the church and any organization or institution in society, but must submit to their husbands in marriage. Conversely, some churches in Kumasi believe in assigning equal roles to both men and women in the home, church, and society. For instance, the Presbyterian Church permits women to perform every role in the church and society without any hierarchical order of gender roles. According to the Christian leader interviewed, the determination of marital roles rests with the couples and is not determined by the church doctrines. These different views of churches on gender issues reflect how gender roles are perceived within the Christian or religious context in Kumasi society.

It is reasonable to assert that the perspectives of churches on matters related to gender exhibit notable variations among different churches in Ghana. Certain churches espouse principles of gender equality, advocating for equal opportunities for women akin to men in familial, ecclesiastical, and societal domains. This represents an egalitarian understanding of gender, where women are permitted to share equal roles with men in the church, society, and the marital home. Conversely, other churches adhere to traditional Christian perspectives concerning women's roles that constrain their engagement in family, ecclesiastical matters, and society, hence opposing gender equality. In these religious entities, women's roles within the church are restricted, and their consecration as clergy is expressly prohibited. Nonetheless, a subset of churches promotes gender equality within ecclesiastical and societal spheres but does not extend this principle to marital relationships representing those views held by complementarians.

Despite the patriarchal norms of Christianity and the Asante culture, Kumasi society has made significant strides from patriarchy to a society of gender equality. The study attributes this progress to female education, single parenting, gender norms and teachings of some churches and the wider economic roles of women in Ghana.

V. IMPLICATIONS OF GENESIS 1:26-28 AND 2:18-24 FOR GENDER ROLES AMONG CHRISTIANS IN KUMASI SOCIETY

As indicated in the study, Christianity can impact gender roles through the teachings found in Judeo-Christian scriptures, which some churches

interpret as endorsing patriarchy. However, Kumasi is transitioning towards gender equality due to urbanization, female education, single parenting, and increased economic opportunities for women.

Despite varying interpretations, an analysis of Genesis 1:26 and 2:18-14 suggests that these texts do not promote gender inequality. Kumasi has also made strides towards gender-based parity in contemporary times. As a result, Christians of Asante origin in Kumasi can refer to Genesis 1:26:28 and 2:18-24 as a framework for determining the appropriate roles of both men and women in family life, church, and society. In society, women must be accorded equal rights, opportunities, and roles as their male counterparts provided that the dominion mandate to rule over the universe is bestowed upon both the male and female in Genesis 1:27. Education has proven that women are equally level-headed as their male counterparts and for this reason, their opinions must count in the decision-making process in the society. Women must be given the nod to head any institution in society and enjoy equal representation in governance since the mandate to rule the universe is bestowed upon both males and females.

It is crucial to acknowledge women's invaluable role as partners and supporters in familial relationships, rather than relegating them to subordinate or servile positions. As Genesis 2:18 wisely counsels, women should be regarded as equals to their husbands. In modern Ghanaian societies, education has served as a powerful tool in empowering women to achieve greater social, political, and economic autonomy. By achieving economic independence, women can also make meaningful financial contributions to their families, thereby easing the financial pressures on their husbands.

Churches need to recognize the equal creation of women in the image of God and their mandate to be stewards of the universe. As seen in the Old Testament, women like Deborah, a judge and prophetess, played significant leadership roles. In the New Testament, women were instrumental in the growth of the church. They were the first witnesses of Christ's resurrection and were the first to proclaim the gospel message, which is a pivotal part of Christian theology. Therefore, churches in Kumasi should assign more leadership roles to women using interpretations of Genesis 1:26-28 and 2:18-24 as the basis.

VI. CONCLUSION

There is evidence of a shift from a patriarchal society to one that values gender equality in Kumasi, driven by social change. Women's education has led to some of them taking on roles that were traditionally male-dominated. Furthermore, some women are now breadwinners in their families due to their economic

empowerment. In addition, some churches have started ordaining women as priests. The interpretation of the two Judeo-Christian texts also supports gender equality and should be used to promote gender equality among Christians in Kumasi.

To promote gender equality in Kumasi, focusing on female education and technical training is essential. This will empower women to contribute to science and technology and participate fully in decision-making. Gender programs should be integrated into school curriculums to eliminate gender stereotypes and discrimination.

Marital roles in Christian marriages in Kumasi should be based on equality. Hierarchical roles where men exercise authority over their wives are not valid, and both sexes should have equal rights. Although men are typically breadwinners, women in Kumasi are now financially supporting their husbands due to their education and training. This support helps reduce poverty and makes women less dependent on men in other aspects of their lives.

Although some churches in Ghana do not ordain women as priests and the priesthood is still male-dominated, there are women making strides in the ministry. This is to inform those churches sidelining women in ecclesiastical clergy to take cues from those who have started to ordain female clergies. Genesis 1:26-28 and 2:18-24 promote gender equality and must inform and guide Christians of Asante background to promote gender equality.

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The Moral Imagination in Facilitation of a Training Community Leadership in Nairobi/Kenya: A Cross-Cutting Approach

By Samuel Felipe Johann, Luís Renato Zubcov & Jane Mazzarino

Resumo- O objetivo do estudo é analisar a experiência de facilitação da capacitação de lideranças comunitárias em Nairobi/Quênia, utilizando-se uma abordagem transversal e a proposta teórica da Imaginação Moral. A abordagem transversal foi criada a partir da trama de referenciais e técnicas de Transformação de Conflitos, Trauma e Resiliência, Comunicação Não Violenta e Cultivo de Equilíbrio Emocional. Problematisa-se como a capacitação de lideranças comunitárias em Nairobi/Quênia pode ter contribuído para o surgimento e fortalecimento das qualidades da imaginação moral entre os participantes. A revisão bibliográfica e reflexão teórica sobre a experiência abrange o tema da facilitação elicitiva em treinamentos e as quatro qualidades da imaginação moral, propostas por John Paul Lederach (Papel Central das Relações, Curiosidade Paradoxal, o Ato Criativo e da Disposição ao Risco), complementada por aspectos dos Círculos de Construção de Paz.

Palavras-chaves: *imaginação moral, círculos de construção de paz, capacitação, lideranças comunitárias, abordagem/facilitação elicitiva, revisão bibliográfica.*

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The Moral Imagination in Facilitation of a Training Community Leadership in Nairobi/Kenya: A Cross-Cutting Approach

A Imaginação Moral na Facilitação de Uma Capacitação de Lideranças Comunitárias em Nairobi/Quênia: Uma Abordagem Transversal

Samuel Felipe Johann ^α, Luís Renato Zubcov ^σ & Jane Mazzarino ^ρ

Resumo- O objetivo do estudo é analisar a experiência de facilitação da capacitação de lideranças comunitárias em Nairobi/Quênia, utilizando-se uma abordagem transversal e a proposta teórica da Imaginação Moral. A abordagem transversal foi criada a partir da trama de referenciais e técnicas de Transformação de Conflitos, Trauma e Resiliência, Comunicação Não Violenta e Cultivo de Equilíbrio Emocional. Problematisa-se como a capacitação de lideranças comunitárias em Nairobi/Quênia pode ter contribuído para o surgimento e fortalecimento das qualidades da imaginação moral entre os participantes. A revisão bibliográfica e reflexão teórica sobre a experiência abrange o tema da facilitação elicitiva em treinamentos e as quatro qualidades da imaginação moral, propostas por John Paul Lederach (Papel Central das Relações, Curiosidade Paradoxal, o Ato Criativo e da Disposição ao Risco), complementada por aspectos dos Círculos de Construção de Paz.

Palavras-chaves: *imaginação moral, círculos de construção de paz, capacitação, lideranças comunitárias, abordagem/facilitação elicitiva, revisão bibliográfica.*

I. INTRODUÇÃO

Este artigo surge do interesse pessoal, profissional e acadêmico em aprofundar conhecimentos teóricos e práticos no que tange a programas de formação de lideranças comunitárias em contextos afetados pela violência. A aspiração é que as lideranças que habitam o epicentro da vulnerabilidade estejam munidas das capacidades e ferramentas necessárias para prevenir e resolver conflitos de maneira autônoma em seus ambientes, independentemente da agenda de atores externos.

Após a experiência do primeiro autor de quase uma década de trabalho humanitário em zonas de conflito armado em diferentes países, interagindo diretamente com diferentes grupos armados estatais e não-estatais que disputam por território e perpetuam desastres, ele passou a se interessar por ferramentas e formatos de diálogo que pudessem facilitar encontros improváveis entre atores antagônicos, e criar espaços

minimamente seguros para a exploração de alternativas não-violentas de convívio.

O artigo coloca em perspectiva esta experiência inaugural de facilitação nesse tipo de formação que ocorreu em Nairobi/Quênia em outubro, novembro e dezembro de 2021, quando aconteceu a reunião e capacitação de líderes comunitários. Viviam estes em um complexo contexto de violência e reinício de vida junto a refugiados de guerra de diferentes nacionalidades.

A abordagem teórica está focada na obra *A Imaginação Moral*, de John Paul Lederach (2011), que trata da “arte e alma da construção de paz” no âmbito da facilitação de capacitações no campo da transformação de conflitos. A proposta do autor é sintética e honesta ao tratar sobre os obstáculos e os possíveis caminhos para a redução da violência em ambientes marcados por conflitos armados e traumas coletivos.

O cruzamento da experiência de capacitação em Nairobi/Quênia é anterior à leitura da obra, portanto, trata-se de uma análise que parte da experiência empírica observada para, a partir daí, aproximar-se da proposta das qualidades da imaginação moral. Por oferecer uma reflexão sobre a prática de formação de lideranças comunitárias em ambientes de violência, busca-se contribuir em intervenções em contextos similares.

A abordagem do processo de facilitação caracteriza-se pelo hibridismo criado a partir de referenciais oriundos de autores dos Círculos de Construção de Paz disseminada por Pranis *et al.*, (2003), da Transformação de Conflitos (LEDERACH, 2012; DIETRICH, 2019; ZEHR, 2015), da Comunicação Não-Violenta (ROSENBERG, 2005), do Equilíbrio Emocional (EKMAN, 2003; WALLACE, 2006; WALLACE, 2009) e do Trauma e Resiliência (LEVINE, 2010; YODER, 2005; GROTBORG, 1995).

Problematisa-se: Como a capacitação de lideranças comunitárias em Nairobi/Quênia pode ter contribuído para o surgimento e fortalecimento das qualidades da

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imaginação moral entre os participantes? O objetivo do estudo é analisar a experiência de facilitação da capacitação de lideranças comunitárias em Nairobi/Quênia, utilizando-se uma abordagem transversal, considerando a proposta teórica da Imaginação Moral.

A revisão bibliográfica abrange o tema da facilitação elicitiva em treinamentos e as quatro qualidades da imaginação moral de John Paul Lederach (2011): o Papel Central das Relações, Curiosidade Paradoxal, o Ato Criativo e da Disposição ao Risco. Faz-se uma breve apresentação do conceito de capacitação elicitiva (em oposição ao conceito de treinamento prescritivo), conforme apresentado por Lederach em sua obra *Preparing for Peace: conflict transformation across cultures* (1995).

Uma vez estabelecida essa base conceitual, será apresentada uma breve descrição da capacitação que ocorreu em Nairobi, com exposição sobre os 4 eixos e 12 tópicos disparadores do plano pedagógico utilizado. Além disso, será analisado como o conteúdo foi trabalhado junto aos participantes. Assim, será possível compreender e refletir sobre a tendência da experiência, de modo a fornecer insumos para futuras capacitações no âmbito da transformação de conflitos em contextos similares, tanto para facilitadores, quanto para pesquisas-intervenções.

A reflexão teórica a partir da proposta de Lederach (1995; 2011) será complementada por aspectos das obras de Halifax (2012) e Pranis *et al.*, (2003). O primeiro autor cita diretamente as qualidades da imaginação moral, situando-as dentro de um conjunto de práticas voltadas a superar o mero sentimento de empatia para desenvolver um genuíno e saudável estado de abertura e disposição de colocar-se a serviço do próximo. A segunda autora, por sua vez, não dialoga explicitamente com o conceito da imaginação moral, mas discorre sobre os Círculos de Construção de Paz (ferramenta utilizada pelo facilitador durante a capacitação em Nairobi), enquanto um processo de prevenção e resolução de conflitos ancorado na noção de interdependência. Esta abordagem contribui para o surgimento de possibilidades inesperadas a partir da sabedoria coletiva que emerge do encontro de individualidades.

II. AS QUATRO QUALIDADES DA IMAGINAÇÃO MORAL

Enquanto a palavra “imaginação” se refere a “perceber as coisas mais longe e mais fundo do que aquilo que está visível aos olhos” (LEDERACH, 2011, p. 28), a palavra “moral” se refere ao “potencial de encontrar uma forma de transcender, ou de ir além do existente, ao mesmo tempo em que vivemos nele” (LEDERACH, 2011, p. 29). O autor admite que o termo “moral” pode ser, à primeira vista, associado à ética, religião ou valores impostos. Todavia, no âmbito da sua

proposta, trata-se da capacidade de imaginar e gerar respostas não violentas, capazes de sustentar, simultaneamente, o desconforto da realidade da violência e, ao mesmo tempo, romper os grilhões dos ciclos destrutivos gerados por ela.

De maneira mais simples, a imaginação moral também pode ser vista com uma prática de reumanização, de enxergar os seres rotulados como “outros”, primeiramente, como pessoas dotadas das mesmas emoções e necessidades que “nós”. Fomenta o encontro de similaridades em prol do reconhecimento da a humanidade compartilhada. Com isso, abre-se caminhos para melhor convivência humana (Halifax, 2021). Estudos semelhantes apontam que um remédio eficaz para combater o ódio, injustiça e preconceito presentes entre grupos considerados antagônicos é simplesmente a aproximação entre estes que se enxergam “diferentes” uns dos outros (RUTGER, 2021, p. 330-342). Assim como enfatiza a imaginação moral, o contato e convivência se apresentam cada vez mais como um caminho de redução dos ciclos de violência (RUTGER, 2021, p. 330-342).

Dito isso, a primeira qualidade da imaginação moral é o *Papel Central das Relações*, definida como “a capacidade de os indivíduos e comunidades se imaginarem em uma teia de relações envolvendo até os seus inimigos” (LEDERACH, 2011, p. 37). Em outras palavras, é a capacidade de “nos projetar no futuro e ver que nossos netos e os netos de nossos adversários poderiam facilmente ter um futuro íntimo e comum” (HALIFAX, 2021, p. 107). Essa qualidade está enraizada na percepção da interdependência enquanto interconexão dos nossos destinos. “O mal praticado contra um é um mal para todos. O bem praticado a um é um bem para todos.” (PRANIS, 2010, p. 42).

A segunda qualidade é a *Curiosidade Paradoxal*. Lederach a define como a “interação com a realidade que respeita a complexidade e se recusa a cair nos compartimentos forçados das dualidades e das categorias do tipo isso ou aquilo” (2011, p. 39). Oferece a capacidade de vincular “duas verdades aparentemente contraditórias a fim de localizar uma verdade maior” (LEDERACH, 2011, p. 39). Essa qualidade nos convida a “abrir o coração para possibilidades inconcebíveis.” (HALIFAX, 2012, p. 108). Dietrich (2019), ao comentar a obra de Lederach, acrescenta:

Lederach considera a ‘curiosidade paradoxal’ a mais alta virtude. De acordo com ele, *paradoxal* se refere não apenas ao que está além das crenças dominantes, mas também ao que desafia as reivindicações de verdade feitas por grandes meta-textos. *Curiosidade* se refere à atenção consistente e questionamento contínuo das coisas e seus significados – conforme a implicação da raiz latim das palavras ‘curar’ e ‘cuidar’. A curiosidade paradoxal é, portanto, uma atitude política de paz que nos permite permanecer em uma situação amigável com a inevitável

complexidade da violência e polarização sem cair na armadilha do pensamento moderno, onde valores dualistas exacerbam a espiral da violência. A curiosidade paradoxal faz questionamentos que vão além de conclusões precipitadas ou interpretações superficiais e busca conceber tantas escolhas quanto possível¹ (DIETRICH, 2019, p. 13).

A terceira qualidade da imaginação moral é o *Espaço para o Ato Criativo*. As pessoas que manifestam essa qualidade “assumem que existem incontáveis possibilidades e são capazes a qualquer momento de avançar, para além dos estreitos parâmetros daquilo que é comumente aceito e percebido como a gama de escolhas estreita e rigidamente definida.” (LEDERACH, 2011 p. 43). Essa qualidade aponta para um propósito resiliente e para uma paciência revolucionária, imaginando um horizonte mais vasto do que pode parecer possível à primeira vista (HALIFAX, 2021).

A quarta e última qualidade é *Disposição para Arriscar*. A partir da perspectiva da interdependência e da capacidade de vermos além dos padrões duais e possibilidades habituais, somos chamados à ação. Em ambientes onde a violência é o padrão e a paz é um mistério, “arriscar é dar um passo para o desconhecido sem nenhuma garantia de sucesso ou mesmo de segurança” (LEDERACH, 2011, p. 43). Essa qualidade implica em “não se apegar aos resultados, o risco de sentar com o desconhecido, o risco de ir além das divisões e enfrentar incertezas com curiosidade e força” (HALIFAX, 2021, p. 108).

Embora as quatro qualidades da imaginação moral tenham sido descritas acima, é evidente que, em um contexto de capacitação que objetiva a autonomia e o encorajamento do protagonismo local, é preciso muito mais: elas precisam ser vivenciadas, experimentadas, emergindo da sabedoria individual e coletiva dos próprios participantes. Por isso, é preciso ir além da visão de capacitação enquanto mera transferência de conhecimento e explorar uma possibilidade diferente, que Lederach (2011) define como “abordagem elicitiva”.

III. O PROCESSO DE CAPACITAÇÃO VIA FACILITAÇÃO ELICITIVA

Os idiomas Português e Espanhol possuem uma vantagem comparativa ao Inglês no que tange à

¹ *No original*: “Lederach considers ‘paradoxical curiosity’ as the highest virtue. Accordingly, paradoxical refers not only to what lies beyond dominant beliefs, but also to what stands against the claims to truth made by major meta-texts. Curiosity refers to consistent attention and a continual questioning of things and their meaning – as the Latin root of the words ‘care’ and ‘cure’ implies. Paradoxical curiosity is, thus, a peace-political attitude that allows us to be on friendly terms with the inevitable complexity of violence and polarization without falling into the trap of modern thinking, wherein dualistic values exacerbate the spiral of violence. Paradoxical curiosity enquires beyond hasty conclusions and superficial interpretations and seeks to conceive of as many choices as possible.”

sutileza da diferença entre “treinamento” e “capacitação” (ambos traduzidos igualmente como “*training*” no Inglês). Enquanto o “treinamento” pressupõe a mera transferência de conhecimento para a realização de uma tarefa específica, a “capacitação” implica na intenção de empoderamento, na superação de obstáculos que tornam possível o movimento de saída de uma posição de “eu não consigo” para a entrada em uma posição de “eu consigo” no que tange o esforço para a mudança social positiva. (LEDERACH, 1995). Assim, o termo “capacitação” vai muito além do mero ato de aprender a realizar mecanicamente uma atividade específica.

John Paul Lederach, em sua obra *Preparing for Peace: Conflict Transformation Across Cultures* (1995) argumenta que esse empoderamento se torna possível por meio de uma abordagem que ele cunhou de elicitiva, em oposição à abordagem prescritiva na qual a maior parte das iniciativas educacionais está baseada. Uma abordagem puramente *prescritiva* configura o treinamento como um produto universalmente aplicável, oferecido por um especialista com conhecimento explícito no assunto, o qual transfere o conhecimento e/ou a técnica em questão para receptores cujo conhecimento implícito, formado por suas próprias experiências prévias, é pouco levado em consideração. As premissas ideológicas implícitas ao produto não são abordadas. A cultura é vista como um aspecto para o qual as ferramentas específicas deverão ser adaptadas, comumente em módulos mais avançados (LEDERACH, 1995). De acordo com o autor, um típico treinamento prescritivo de mediação de conflitos tende a apresentar os seguintes passos:

1. *O que fazer*: Uma descrição cognitiva do modelo apresentado.
2. *Como fazer*: Exemplos e/ou demonstrações da técnica.
3. *Prática*: Uso das ferramentas por parte dos participantes, em um ambiente controlado.
4. *Feedback*: O facilitador utiliza elementos da prática para fazer avaliações, correções e reforçar o modelo.
5. *Perguntas e Respostas*: Espaço para questionamentos dos participantes sobre possíveis cenários e desdobramentos a serem respondidas pelo facilitador.

Uma abordagem *puramente elicitiva*, por outro lado, percebe os participantes e seu conhecimento implícito como o principal recurso da capacitação. O facilitador não se coloca como *expert* no assunto, mas como o catalizador de um processo participativo de descoberta e criação através do qual emergirão modelos adaptados às necessidades do contexto. O desenho e objetivos explícitos da capacitação são definidos em conjunto pelos participantes. Esse

empoderamento tende a resultar na autonomia e continuidade da aplicação daquilo que foi desenvolvido coletivamente (LEDERACH, 1995). Segundo o mesmo autor, uma capacitação em mediação de conflitos puramente elicitiva tenderia a seguir os seguintes passos:

1. *Descoberta*: Discussões sobre situações vivenciadas pelos participantes, buscando trazer à tona o conhecimento implícito sobre “o que” e “como” fazer, sem rotulação de certo ou errado.
2. *Nomear e categorizar*: Esforço descritivo conjunto para identificar e categorizar as atitudes, abordagens e papéis utilizados para lidar com conflitos localmente.
3. *Avaliação*: Os participantes analisam a eficácia das práticas previamente nomeadas e categorizadas a partir das necessidades do contexto (e não de acordo com critérios de modelos externos). Trata-se da oportunidade de perguntar-se sobre o que está indo bem e o que precisa ser melhorado, modificado, removido ou implementado.
4. *Adaptar/recriar*: Ajuste da prática atual em relação à modalidade de operação desejada. Essa etapa pode ou não envolver a comparação e o contraste com abordagens e ferramentas externas ao contexto. O objetivo é que um modelo genuinamente local e contextual emergja.
5. *Aplicação prática*: Exercícios e oportunidades de experimentação do modelo construído, o qual permanece aberto ao questionamento e reformulação a partir dos aprendizados posteriores que serão obtidos na sua aplicação prática.

É evidente que os modelos prescritivo e elicitivo descritos acima representam polos opostos e ilustrativos, e que as capacitações aplicadas em contextos reais irão inevitavelmente possuir elementos das duas abordagens. Além disso, enquanto um modelo puramente prescritivo tende a ser imperialista, um modelo puramente elicitivo também pode apresentar desvantagens, em especial a falta de uma tensão saudável entre as práticas locais e potencialidades exógenas e potencialmente enriquecedoras ao contexto. Uma combinação de ambos os modelos parece ser o cenário mais promissor. (LEDERACH, 1995).

O ponto principal de Lederach (1995) é que a maior parte dos treinamentos pende exageradamente para o espectro prescritivo. O autor defende que o facilitador deveria reforçar as suas próprias capacidades elicitivas, para que possa expandir o seu próprio repertório e manter-se fiel ao objetivo final, qual seja de promover uma relação de empoderamento social e cultural, baseado na mutualidade e no respeito. Esta postura permite ir além do aprendizado de uma ferramenta ou técnica específica (LEDERACH, 1995).

Descrita as quatro qualidades da imaginação moral, aliando com a explanação da importância do modelo de facilitação elicitiva, o artigo cuidará na sequência da capacitação vivenciada em Nairobi/Quênia.

IV. A EXPERIÊNCIA EM NAIROBI

Durante os meses de outubro, novembro e dezembro de 2021, o primeiro autor conduziu uma capacitação de 32h para um pequeno grupo de lideranças comunitárias em Nairobi/Quênia, a maioria deles pessoas em deslocamento forçado (“refugiados de guerra”), convivendo com a população local queniana em uma região urbana periférica chamada Kabíria. A região é um ímã de indivíduos e famílias vindas de mais de dez diferentes países, entre eles a República Democrática do Congo, Ruanda, Sudão, Sudão do Sul, Burundi e Etiópia.

Os desafios reportados pelos novos e antigos moradores da comunidade incluíam as condições socioeconômicas desfavoráveis da área, o preconceito da população local contra os refugiados, a mistura de diferentes culturas e visões de mundo, os traumas gerados pelos contextos de conflito armado vivenciados em seus países de origem, a “importação” das dinâmicas prévias de conflitos tribais, regionais e internacionais para o microssistema local, além do alto número de casos de violência de gênero.

Não faz parte do escopo do artigo contextualizar as circunstâncias que levaram à capacitação, os diálogos prévios desenvolvidos com a comunidade, as parcerias institucionais que foram firmadas e tornaram o processo possível, os perfis específicos dos participantes e tampouco os critérios de escolha das temáticas abordadas. Porém, é pertinente mencionar que a capacitação se inseriu em um contexto mais amplo, sendo ela a primeira de três fases de um programa maior. A segunda fase, após a formação de 32h, foi a aplicação de ações comunitárias de diálogo protagonizadas pelas lideranças recém-capacitadas, enquanto que a terceira fase foi a conexão dessas lideranças com mentores(as) internacionais para o seu desenvolvimento continuado.

Dito isso, reitera-se que o interesse deste trabalho se concentra especificamente em verificar os componentes prescritivos e elicitivos dentro do processo de capacitação de 32h (fase 1 do processo), e de que forma que houve ou não a elicitivação das qualidades da imaginação moral.

a) *A abordagem transversal: um caso de facilitação elicitiva?*

O encontro inicial da capacitação foi pautado na construção dos objetivos, valores e diretrizes do grupo, utilizando a ferramenta dos Círculos de Construção de Paz disseminada por Pranis *et al.*, (2003).

Nos encontros subsequentes, foram abordados quatro grandes eixos temáticos, organizados de acordo com os conhecimentos prévios do facilitador e dos interesses pré-identificados pelos participantes: Transformação de Conflitos (LEDERACH, 2012; DIETRICH, 2019; ZEHR, 2015), Comunicação Não-Violenta (ROSENBERG, 2005), Equilíbrio Emocional (EKMAN, 2003; WALLACE, 2006; WALLACE, 2009) e Trauma e Resiliência (LEVINE, 2010; YODER, 2005; GROTBORG, 1995), subdivididos em um total de 11 tópicos disparadores de diálogo.

O *Quadro 1* inclui os 4 eixos e seus tópicos disparadores, bem como uma breve descrição de como foram abordados. A palavra “Apresentação” corresponde à exposição oral de conteúdo por parte do facilitador, reforçada por slides, materiais impressos ou

vídeos. A palavra “Discussão” indica processos de troca oral entre pequenos grupos e/ou dentro do grande grupo, culminando na anotação dos principais pontos elencados, seja por parte do facilitador ou por outro participante. A palavra “Prática” aponta para um exercício e/ou simulação em ambiente controlado como parte de um processo de verificação da relevância e eficácia do conceito/ferramenta.

De maneira proposital, não são citados na tabela os elementos e etapas do Círculo de Construção de Paz (PRANIS *et al.*, 2003) que permearam todos os encontros – as cerimônias de abertura e encerramento, as rodadas de *check in* e *check out*, o uso do objeto da fala² – nem as práticas de atenção plena realizadas em grupo durante a capacitação.

Quadro 1: Abordagem transversal

	Eixos e Tópicos	Abordagem Realizada
1	Transformação de Conflitos	
1.1	Conflito como Oportunidade (LEDERACH, 2012)	<ul style="list-style-type: none"> – Apresentação do slide do Iceberg dos conflitos. – Discussão a partir da pergunta disparadora: a partir da metáfora do iceberg, de que maneira o conflito pode ser uma oportunidade? – Discussão sobre causas profundas dos episódios e padrões de violência vivenciados pelos participantes.
1.2	Intepretações de Paz (DIETRICH, 2019)	<ul style="list-style-type: none"> – Discussão em pequenos grupos sobre significado da Paz para cada um. – Apresentação das quatro interpretações de Paz na história e na cultura: harmonia, justiça, segurança, verdade. – Discussão sobre como os conceitos apresentados expandem o significado de Paz para os participantes.
1.3	Justiça Restaurativa: Culpa x responsabilidade (ZEHR, 2015)	<ul style="list-style-type: none"> – Apresentação das três principais perguntas da justiça restaurativa (Quem sofreu danos? Quais suas necessidades? De quem é a obrigação de supri-las?) em contraste às práticas de justiça retributiva. – Discussão sobre meios tradicionais e contemporâneos de lidar com danos causados e qual o papel da comunidade no processo.
2	Comunicação Não-Violenta	–
2.1	Observação x Julgamento (ROSENBERG, 2005)	<ul style="list-style-type: none"> – Discussão a partir do convite: converse sobre situações nas quais você foi julgado (a). – Discussão a partir do convite: converse sobre situações onde você julgou alguém. – Apresentação dos conceitos, diferença e exemplos de Observação e Julgamento – Prática de observações desprovidas de julgamento entre os participantes.
2.2	Necessidades Humanas Universais (ROSENBERG, 2005)	<ul style="list-style-type: none"> – Discussão sobre as necessidades comuns a todos os seres humanos. – Apresentação da lista de necessidades humanas universais. – Discussão sobre as possíveis necessidades subjacentes à adoção de estratégias conflitivas/violentas – Prática de diálogos buscando a identificação de necessidades por trás de estratégias adotadas para lidar com o conflito.

² Para informações técnicas sobre as etapas e elementos da metodologia dos Círculos de Construção de Paz, é sugerida a leitura de Pranis *et al.*, (2003) e Pranis (2010).



3	Equilíbrio Emocional	–
3.1	Emoções Universais (EKMAN, 2003)	<ul style="list-style-type: none"> – Discussão a partir das perguntas disparadoras: as emoções humanas são universais ou produto da cultura? Quais emoções são potencialmente comuns a todos os seres humanos? – Apresentação das sete emoções com expressões faciais universais. – Discussão sobre quais as emoções associadas a conflitos e quais as mais desafiantes para os participantes a nível pessoal
3.2	Episódio Emocional (EKMAN, 2022)	<ul style="list-style-type: none"> – Apresentação da linha do tempo do episódio emocional – Discussão sobre episódios emocionais vivenciados pelos participantes e pessoas ao seu redor.
3.3	Felicidade Genuína (WALLACE, 2009)	<ul style="list-style-type: none"> – Discussão a partir da pergunta disparadora: o que é felicidade para você? – Apresentação dos conceitos de Hedonismo e Eudaimonia. – Discussão livre a partir dos conceitos apresentados.
3.4	Equilíbrio Atencional (WALLACE, 2006)	<ul style="list-style-type: none"> – Discussão acerca da diminuição da capacidade de atenção e foco nos tempos atuais e o impacto disso no nosso bem-estar. – Apresentação da Árvore de Shamata: relaxamento, estabilidade, vivacidade. – Discussão sobre como aprimorar a capacidade de atenção e como criar oportunidades para isso dentro do espaço da capacitação.
4	Trauma e Resiliência	
4.1	Identificando o Trauma (LEVINE, 2010; YODER, 2005)	<ul style="list-style-type: none"> – Discussão a partir da pergunta disparadora: o que significa trauma para você? – Apresentação das definições, sintomas e implicações do trauma – Apresentação do ciclo de <i>acting-in/acting-out</i>. – Discussão sobre desafios individuais e sociais a partir dos conceitos apresentados. – Exercício do Rio da Vida: contação de histórias sobre eventos marcantes nas vidas dos participantes.
4.2	Resiliência (LEVINE, 2010; YODER, 2005, GROTBORG, 1995)	<ul style="list-style-type: none"> – Exercício de auto conexão corporal. – Apresentação dos três elementos da superação do trauma: proteção, reconhecimento, reconexão. – Apresentação do conceito de resiliência e seus 3 pilares: força interna, habilidades, suporte social. – Discussão em grupo sobre estratégias para implementar ações que promovam resiliência em sua comunidade.

Retoma-se aqui o argumento de que os conceitos “prescritivo” e “elicitivo” podem representar uma simplificação da realidade. Essa simplificação, por um lado, tem objetivo pedagógico de permitir e facilitar a imaginação de uma linha com dois pontos diametralmente opostos, criando a base para um parâmetro de análise. Diferentes momentos e componentes da abordagem transversal de capacitação podem ser situados em diferentes pontos dessa linha, pendendo mais para um lado ou para o outro. Por outro lado, restringir-se à dualidade de “puramente prescritivo ou elicitivo” seria cair precisamente na polarização reducionista que a Imaginação Moral propõe transcender.

Inicialmente, parece claro que deveriam ser classificados como prescritivos os elementos e momentos nos quais a apreensão do conceito exógeno precedeu a troca baseada no conhecimento implícito dos participantes. Na lógica inversa, classificar como elicitivos os momentos que partiram do conhecimento

implícito local, para depois introduzir um conceito exógeno a ser discutido, validado e testado pelos participantes.

No entanto, durante o exercício de recapitulação que se fez necessário para construir o Quadro 1, e havendo familiarização com o pensamento de Lederach (1995; 2011), compreendeu-se que, na realidade, o elemento central para poder situar a abordagem não é a ordem de introdução dos conceitos/ferramentas exógenas, tampouco a testagem e discussão acerca delas. O principal elemento de distinção é a presença de um silêncio e aceitação implícita ou a comunicação e discussão explícita sobre:

- a) o papel do facilitador (especialista ou catalisador?) e dos participantes (receptores ou co-criadores do espaço relacional?);
- b) o papel da cultura, entendida aqui como o acúmulo de experiências pessoais e coletivas. As visões de mundo correspondentes, como sendo um componente para o qual adaptar uma ferramenta,

- ou como sendo o principal recurso e balizador final da utilidade da ferramenta?
- c) o objetivo final da capacitação como sendo a transferência de um conhecimento/habilidade específica ou como um processo de empoderamento?
- d) qual o grau de encorajamento para que os participantes critiquem, adotem, adaptem ou descartem os conceitos/ferramentas exógenos trazidos até eles, mantendo um estado de abertura e crítica saudável?

Nesse sentido, entende-se que a abordagem transversal da capacitação realizada situou-se predominantemente no escopo elicitivo, uma vez que: 1) foram realizados diálogos explícitos e decisões consensuais sobre os quatro aspectos acima (por exemplo: qual a conduta esperada no caso de discordância entre os participantes, quais as abordagens a serem utilizadas na exploração dos temas centrais, qual o processo de reinserção no caso de um membro do grupo se ausentar durante um dia de formação, entre outros); 2) essas decisões penderam para a visão conjunta da facilitação enquanto um processo de sensibilização e experimentação conjunta para superar situações da vida real (nenhum conceito ou ferramenta foi imposto como universalmente aplicável); e 3) mesmo em momentos onde houve “transferência de conhecimento”, o que se encaixaria dentro do espectro prescritivo, esses momentos foram acordados com o grupo como parte de uma experiência mais ampla centrada na construção de novos significados e técnicas, partindo da vivência e necessidade de cada indivíduo.

Somado a isso, é preciso levar em consideração o caráter multicultural da capacitação envolvendo indivíduos de cinco diferentes nacionalidades - Quênia, República Democrática do Congo, Sudão do Sul, Burundi, Brasil -, a maioria deles sentindo-se parte de uma espécie de “limbo” entre as práticas de construção de diálogo e resolução de conflito nativas, deixadas para trás. Tal percepção decorrente do deslocamento forçado, eis que vivenciaram a desafiadora realidade da inadequação das práticas locais e institucionais, sendo que nenhuma delas atendia suas necessidades específicas, conforme relataram.

Para capacitações em contextos como esse, Lederach (1995) elucida o que ele chama de “princípio da reciclagem”:

“Nessas situações, o princípio da reciclagem é aplicável. Trazendo a metáfora raiz, a reciclagem é um processo dinâmico que mescla as “coisas velhas, usadas” com ingredientes frescos para recriar um novo produto. Percebe-se que ela não descarta o “velho” nem abraça com fé cega o perpetuamente substituível “novo” como a resposta às nossas necessidades. Em termos práticos, a reciclagem convida as pessoas a refletir sobre o que

existiu, o que era conhecido dentro do seu contexto, e identificar o que está faltando no contexto atual. Essa revisão representa um processo de reflexão construtivamente crítico e inovador que permite a um grupo cultural particular identificar as forças do seu próprio legado mas também encarar as realidades das demandas atuais.” (LEDERACH, 1995, p. 114)³

O conceito de reciclagem trazido acima embarca não somente a realidade vivida pelos participantes da capacitação, mas também o processo vivenciado de maneira espontânea a partir das trocas ocorridas durante o processo. Sem descartar suas raízes nem negar a necessidade de adaptação à nova realidade vivenciada, os participantes buscaram, dentro das propostas de visão e atuação fornecidas pelos tópicos disparadores, elementos que formassem um mapa para navegar pelos desafios impostos a eles. Com isso, poderão trabalhar com mais condições em prol do objetivo explícito de diminuição dos conflitos dentro de suas comunidades.

Assim, após a análise da capacitação à luz da perspectiva de Lederach (1995), que permite uma compreensão mais aprofundada sobre o significado dos espectros prescritivo e elicitivo, evidenciou-se que experiência vivenciada consistiu em um processo predominantemente elicitivo ancorado pelo princípio da reciclagem.

Trabalha-se com a hipótese que não foram tão determinantes as estratégias específicas para abordar os temas propostos, quanto a qualidade das relações que a abordagem transversal possibilitou estabelecer, considerando-se a própria mestiçagem de influências que a caracteriza. Coletivamente a capacitação foi relatada como uma experiência de construção de relacionamentos, não sendo associada à transmissão de conhecimentos.

Potencialmente, esse mérito pertence, na sua maior parte, à ferramenta dos Círculos de Construção de Paz, conforme disseminada por Pranis *et al.*, (2003), a qual permeou todas as etapas da capacitação. Os Círculos corporificam o tipo de plataforma que Lederach (2012) chama de estrutura-processo: possuem uma forma específica e reconhecível, mas permanecem adaptáveis por parte dos participantes para preservar objetivo de manter-se fiel a um propósito explícito e contextual. Segundo Pranis *et al.*, (2003):

³ *No original*: “In these situations, the principle of recycling is applicable. To draw the root metaphor, recycling is a dynamic process that mixes “old, used things” with the fresh ingredients to recreate a new product. We note that it neither discards the old nor embraces with blind faith the perpetually replaceable new as the answer to our needs. In practical terms, recycling invites people to reflect back on what existed, on what was known from within their context, and to identify what is missing in their current context. This review represents a constructively critical and innovative process of reflection that permits a particular cultural group to identify the strengths of its own heritage but also to face the realities of current demands.”

“Os círculos nos imergem nos valores e práticas da democracia participativa. Nós experimentamos verdades democráticas básicas: nossas perspectivas contam e, na ausência de cada um de nós, alguma importante contribuição ao mundo estaria faltando. Sendo radicalmente democráticos, os Círculos oferecem uma maneira de praticar a democracia de maneiras muito mais completas do que normalmente somos oportunizados. Eles nos permitem exercitar nossos músculos de participação e desenvolver habilidades essenciais à democracia – escuta profunda; comunicação construtiva e assertiva; e a solução coletiva de problemas.”⁴ (PRANIS *et al.*, 2003, p. 231)

Por um lado, é importante lembrar que Lederach (1995) não advoga um modelo em detrimento do outro, mas utiliza uma tensão saudável entre o espectro prescritivo e elicitivo. Assim, transita nas questões que ele considera necessárias para discutir abertamente com relação ao papel da cultura, do facilitador e do objetivo genuíno da capacitação. Por outro lado, fica claro que, na ausência de componentes elicitivos, não será possível o surgimento das qualidades que compõem a imaginação moral, uma vez que elas são indissociáveis do processo ativo de construção de paz dentro de uma estrutura e processo relacional.

Em suma, neste subtópico foram descritos os pontos disparadores da abordagem transversal da capacitação, com a identificação de que ela se caracterizou como primariamente elicitiva e ancorada pelo princípio da reciclagem. Somado a isso, demonstrou-se o papel central dos Círculos de Construção de Paz na sua implementação.

Em seguida, será analisada a presença ou ausência das qualidades da imaginação moral durante o processo.

b) *Um caso de estímulo à imaginação moral?*

Como apontar precisamente a expressão da imaginação moral, quando ela consiste em uma visão, escolha e atitude, e não em um conteúdo programático? Como separar, na prática, a expressão das suas quatro qualidades, quando elas podem surgir de maneira combinada e indissociável? E como realizar esse exercício de maneira retroativa, referente a uma capacitação que foi entregue quando nenhum dos participantes (nem mesmo o facilitador) conhecia previamente o conceito da imaginação moral?

Propõe-se buscar a expressão de cada uma das quatro qualidades da imaginação moral dentro dos

tópicos disparadores da abordagem transversal apresentada no Quadro 1, e também na dimensão geral do processo elicitivo ancorado pelo princípio da reciclagem.

Com relação ao *Papel Central das Relações*, um breve olhar sobre os quatro eixos temáticos da capacitação e seus tópicos disparadores revela que essa qualidade foi o ponto central da capacitação.

Pelo menos 8 dos 11 tópicos deflagradores podem ser diretamente relacionados a essa qualidade, sendo eles: conflito como oportunidade (LEDERACH, 2012; justiça restaurativa (ZEHR, 2015); observação *versus* julgamento; necessidades humanas universais (ROSENBERG, 2005; emoções universais (EKMAN, 2003); felicidade genuína (WALLACE, 2009); trauma; e resiliência (LEVINE, 2010; YODER, 2005; GROTBORG, 1995). Isso não é surpreendente, uma vez que os autores e as autoras que compõem o referencial teórico dos temas acima compartilham o entendimento de que o bem-estar individual e coletivo está interconectado por uma cadeia complexa de relações.

Em decorrência disso, a importância dessa qualidade foi abordada de forma explícita em diversas ocasiões ao longo da capacitação. No entanto, referir-se à presença da qualidade do Papel Central das Relações citando apenas os temas teóricos trazidos pelo facilitador significaria restringi-la à abordagem puramente prescritiva, dependente da qualidade do treinador em transferi-la para os participantes enquanto receptores passivos – o que se buscou evitar.

De maneira mais ampla, o Papel Central das Relações foi vivenciado por meio da negociação e construção de novos significados, a partir da contribuição de cada um e de todos. Isso inclui até mesmo a relação crítica, individual e coletiva, dos participantes com os conteúdos exógenos trazidos pelo facilitador.

Foi na simplicidade cotidiana do processo de construção conjunta das diretrizes, objetivos, acordos de relação, na intersecção entre as diferentes visões de mundo e na liberdade exercida por cada participante, para escolher para si somente os temas e ferramentas que tivessem utilidade em seu contexto particular, que essa qualidade encontrou solo fértil para se manifestar.

Acima de tudo, considera-se que a percepção dos participantes a respeito do seu próprio sucesso em criar um ambiente seguro, respeito e vulnerabilidade dentro de um grupo tão diverso foi o fator principal para acreditarem no poder de ressignificação das ações de transformação de conflitos focando na qualidade das relações.

Mesmo sem conhecer o termo *Curiosidade Paradoxal* na altura da capacitação, certos componentes dessa qualidade já eram parte das estratégias criadas pelo facilitador, a partir do seu entendimento da necessidade de suspender rótulos e julgamentos e, assim, abrir espaço para o novo.

⁴ *No original*: “Circles immerse us in the values and practices of participatory democracy. We experience basic democratic truths; namely, that our views count and what without each of us, some important contribution would be missing. Being radically democratic, Circles offer a way to practice democracy in far fuller means that we may otherwise have the opportunity to do. They give us a chance to flex our participatory muscles and to develop skills essential to a democracy – deep listening; constructive, assertive communication; and collective problem solving.” (PRANIS *et al.*, 2003, p. 231.)

Rosenberg (2005) e Wallace (2009) tratam a respeito do poder libertador que existe em não reificar as aparências que surgem, nem as rotulações habituais que acompanham a nossa percepção. A questão era: como criar um espaço onde isso pudesse emergir nos participantes, tendo eles vivenciado tantos episódios violentos, repressão, trauma?

Essa qualidade parece ter sido elicitada, de maneira orgânica, a partir de perguntas nascidas das discussões dentro de pelos menos três tópicos disparadores. A primeira delas foi sobre as diferentes interpretações de paz ao longo da história e das culturas (DIETRICH, 2019): “Como podemos buscar a construção de relacionamentos em meio à múltiplas visões de paz, sem negar nem nos prender a nenhuma delas?” A segunda foi a respeito da linha do tempo do episódio emocional (EKMAN, 2022): “De que maneira podemos ser informados pelas emoções que nos perpassam sem nos fixarmos a elas nem as rejeitarmos?” A terceira foi com relação ao tema da Justiça Restaurativa (ZEHR, 2015), em contraste com a justiça convencional/retributiva: “Como conciliar diferentes visões de justiça em um mundo complexo?”

A descrição e análise retrospectiva da capacitação realizada, quando combinada com a pesquisa bibliográfica da obra de Lederach (1995) conduz à conclusão de que o próprio princípio da reciclagem é, em si, um exercício de curiosidade paradoxal: como podemos resgatar as práticas tradicionais de transformação de conflitos que utilizamos antes de nos afastarmos da nossa geografia e cultura nativa, compreender as práticas do novo contexto onde estamos inseridos, mas que não se aplica inteiramente a nós, e dar nascimento a respostas que sejam adaptadas a uma realidade nova e particular?

O que todas as perguntas acima parecem ter em comum é justamente a tentativa de extrapolar visões dualísticas e expandir possibilidades, ao sustentar “simultaneamente várias necessidades e perspectivas que concorrem entre si e até se contradizem” (LEDERACH, 2011, p. 71). Elas nos convidam a irmos além da situação existente, ao mesmo tempo em que ainda estamos dentro dela.

Da mesma forma que a Curiosidade Paradoxal surgiu espontaneamente a partir de uma compreensão orgânica, intuitiva, percebe-se retrospectivamente a expressão das qualidades do *Espaço para o Ato Criativo e a Disposição para Arriscar* em duas diferentes etapas.

O primeira delas emerge da coragem dos participantes em expressar sua visão autêntica e honesta a respeito da temática e/ou ferramenta em pauta, mesmo que isso significasse ser alvo de críticas ou demonstrar vulnerabilidade. Ao que parece, a disposição à criatividade e ao risco tende a emergir naturalmente, a partir de um espaço seguro de experimentação e não-julgamento.

A segunda pertence ao projeto amplo dentro do qual a capacitação estava inserida. Após as 32 horas, cada participante recebeu apoio financeiro e técnico para executar pelo menos uma ação concreta de construção de paz em sua comunidade, à sua escolha e sob sua completa liderança e responsabilidade. Antes de mergulharem nesse completo risco, sem nenhuma garantia de sucesso ou segurança, as lideranças exercitaram a criatividade por meio de diálogos pautados pela pergunta: “A partir da minha motivação de estar aqui e daquilo que foi discutido e praticado, qual ação de construção de paz gostaria de nascer através de mim?”

Em suma, fica claro que o Papel Central das Relações foi o foco principal da capacitação, enquanto as outras três qualidades da imaginação moral surgiram em menor intensidade e de maneira espontânea, implícita, não planejada ou ao menos não articulada como tal.

A análise retrospectiva torna claro que as quatro qualidades da Imagem Moral emergiram dentro do contexto da capacitação, cada uma em maior ou menor escala, mesmo quando a terminologia específica não fosse conhecida pelo facilitador e pelos participantes na época. Isso parece corroborar a hipótese de Lederach (2011) de que a imaginação moral verdadeiramente consiste na essência da construção de paz encontrada nos mais variados tempos, espaços e culturas. Em outras palavras, a imaginação moral é intrínseca à condição humana, quando fornecidas as condições apropriadas.

O resultado da análise retrospectiva reforça também a convergência da obra de Lederach (2011) com a de Pranis *et al.*, (2003), que defende que a condição humana é naturalmente programada para a sobrevivência baseada na cooperação, desde que seja proporcionado um espaço psicologicamente seguro para tal. Parece existir potencial de maior aprofundamento do estudo da intersecção entre Lederach (1995; 2011), Pranis (2010) e Pranis *et al.*, (2003) enquanto referências conceituais e metodológicas na facilitação de processos de capacitação de lideranças comunitárias em ambientes de conflito e violência.

V. CONSIDERAÇÕES FINAIS

Essa breve jornada teve como objetivo analisar se e em qual grau a abordagem e temas disparadores da formação ocorrida em Nairobi/Quênia no ano de 2021 tiveram correlação com as quatro qualidades da imaginação moral descritas por Lederach (2011): o Papel Central das Relações, a Curiosidade Paradoxal, o Espaço para o Ato Criativo e a Disposição para Arriscar.

Esse questionamento levou a pesquisar sobre os dois espectros diametralmente opostos de facilitação - o modelo prescritivo e o modelo elicitivo -

no contexto específico de capacitações em transformação de conflitos para populações em situações afetadas pela violência. Concluiu-se que a capacitação em questão foi predominantemente elicitiva e ancorada pelo princípio da reciclagem. Essa classificação não se deu pela presença ou ausência de conceitos/ferramentas exógenas ao contexto local, mas sim devido à ocorrência de um diálogo explícito acerca do papel e relação entre facilitador e participantes, da relação esperada entre os participantes e seu conhecimento implícito com os conceitos/ferramentas apresentados, além do objetivo da capacitação enquanto um processo de construção de relacionamento, empoderamento e autonomia.

O Papel Central das Relações foi o tema mais relevante da capacitação, refletido na escolha dos conteúdos e autores e autoras de referência, na adoção da ferramenta dos Círculos de Construção de Paz, que perpassou todos os encontros, e na natureza da relação de diálogo e consenso que gerou um espaço seguro vivenciado por todos.

As outras três qualidades da imaginação moral não foram explicitamente abordadas, mas igualmente estiveram presentes. A Curiosidade Paradoxal está na própria raiz do princípio da reciclagem, ao estimular o cruzamento entre práticas anteriores e práticas atuais que não têm eficácia, buscando transcender visões dualistas para dar lugar a possibilidades adicionais. O Espaço para o Ato Criativo e a Disposição para Arriscar surgiram a partir desse estímulo à busca de novas possibilidades. Ao desafio lançado às lideranças para que arquitetassem ações autorais de construção de paz em suas próprias comunidades. As quatro qualidades podem ser apreendidas e aplicadas pelos participantes se ancoradas em experiências vivenciais e nos saberes preexistentes no contexto.

Extraí-se, da análise dessa experiência específica, algumas recomendações gerais para a prática de facilitação em capacitações com lideranças comunitárias com foco na construção de formas de prevenção e resolução de conflitos:

- Manter como prática profissional a discussão explícita sobre o papel do facilitador, dos participantes, da cultura e dos conceitos/ferramentas que serão trazidos;
- Manter o oferecimento da capacitação primariamente como um processo de descoberta e construção de relacionamento, não de transferência vertical de conteúdo;
- Desenvolver a habilidade profissional de promover um modelo primariamente elicitivo, mas que não seja dependente unicamente da ferramenta do Círculo de Construção de Paz, uma vez que nenhuma ferramenta se mostra adequada universalmente, a todos os grupos e diferentes contextos;

- Incluir atividades com o objetivo explícito de alimentar as qualidades da Curiosidade Paradoxal, Espaço para o Ato Criativo e a Disposição para Arriscar. Que possam, assim, ser vivenciadas de maneira intencional, reconhecidas e praticadas para se tornarem parte do repertório de capacidades das lideranças comunitárias.

A intersecção entre as obras de Lederach (1995; 2011), Pranis *et al.*, (2003) e Halifax (2021) traz à tona perguntas sobre um fenômeno curioso: como é possível que ao eliciar o conhecimento e habilidades implícitas de contextos tão diferentes e particulares, nós acabemos nos deparando com as qualidades da imaginação moral enquanto denominador comum para o sucesso da construção de paz? Aquilo que terminamos por eliciar, no fim das contas, não é a imaginação moral em si mesma? Talvez ela consista em um daqueles campos íntimos que tocam a universalidade da condição humana. Nesse sentido, nós encontramos a imaginação moral ou ela nos encontra?

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Ibrahim Kingori Njoki v DCI Revisited - Rights of Ex-Convicts to Gainful Employment

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Abstract- A government has the monopoly of power to punish offenders who are deemed to disrupt the good order in society. This it does through a judicial process that culminates in a lawful punishment. Such punishment is meant to be proportional to the wrong done. Ordinarily, once a person has served the punishment, such a person would be deemed to have paid the debt to society. However, this is not the case with respect to ex-convicts and employment. Many countries keep criminal records which are used to exclude ex-convicts from employment. The Directorate of Criminal Investigations in Kenya has the mandate of collecting, storing and disclosing criminal convictions.² Modern developments in the protection of human rights has seen a paradigm shift towards accommodating ex-convicts in employment. Different countries have adopted varied measures towards this end. It is not in doubt that the age old practice of excluding ex-convicts from employment violates their right to dignity, privacy and labour relations. Such violation in turn endangers society through recidivism. Governments the world over endeavour to ensure that a criminal is properly prepared for re-integration into society.

Keywords: *ex-convicts, freedom from degrading treatment, recidivism, rehabilitation, right to dignity.*

GJHSS-H Classification: *DDC: 340*



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Ibrahim Kingori Njoki v DCI¹ Revisited - Rights of Ex-Convicts to Gainful Employment

Prof. Dr. Moni Wekesa ^α, Ms. Asha Mikinyango ^ο & Mr. Emmanuel Ekiru Tioko ^ρ

Abstract- A government has the monopoly of power to punish offenders who are deemed to disrupt the good order in society. This it does through a judicial process that culminates in a lawful punishment. Such punishment is meant to be proportional to the wrong done. Ordinarily, once a person has served the punishment, such a person would be deemed to have paid the debt to society. However, this is not the case with respect to ex-convicts and employment. Many countries keep criminal records which are used to exclude ex-convicts from employment. The Directorate of Criminal Investigations in Kenya has the mandate of collecting, storing and disclosing criminal convictions.² Modern developments in the protection of human rights has seen a paradigm shift towards accommodating ex-convicts in employment. Different countries have adopted varied measures towards this end. It is not in doubt that the age old practice of excluding ex-convicts from employment violates their right to dignity, privacy and labour relations. Such violation in turn endangers society through recidivism. Governments the world over endeavour to ensure that a criminal is properly prepared for re-integration into society. Developments in data protection laws provide for the right to be forgotten in which a person can seek expungement of records unfavourable to them and that criminal records should not be used to violate the right to privacy. The public interest to be protected from criminals should not extend beyond the punishment served. It is argued in this paper that disclosure of criminal records in a manner that is used to exclude ex-convicts from employment is an inexcusable violation of rights of ex-convicts and that this puts society at danger through recidivism. The paper makes a conclusion that once a convict has served a punishment prescribed by law, such a person should be considered to have fulfilled their obligation to society and therefore should not continue to suffer under the weight of a 'spent' crime.

Keywords: *ex-convicts, freedom from degrading treatment, recidivism, rehabilitation, right to dignity.*

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¹ [2023] KEHC 17924 (KLR).

² Established as part of the police service in Kenya by the National Police Act of 2011 and has duty to provide police clearance certificates that are based on a person's criminal records. Directorate of Criminal Investigations, Police <Clearance Certificate <https://www.cid.go.ke/index.php/services/police-clearance-certificate.html> > 9 July 2024.

I. INTRODUCTION

From time immemorial, society has attempted to deal harshly with members who go against established norms. With the passage of time, such dealings were formalized into laws that prescribe crimes and the corresponding punishment. Concurrently, a system of prisons developed as a way of 'keeping convicts' away from society for a prescribed period commensurate with the nature of crime committed. This was and is seen as a way of 'protecting' society from harmful elements. Such prisons were to serve the trio purposes of punishment, retribution and rehabilitation. At the end of the punishment, an ex-convict is free to mingle. However, whereas such people are released into the society, many nations have put laws in place that prevent them from (re-)joining gainful employment.

Up to mid-20th Century, convicts in the USA could regain their rights through executive pardon.³ However, this approach was found inadequate and in its place came two approaches. The first one is for a Judge to seal or expunge the criminal record thereby limiting public access. The second approach is for the Judges to either set-aside or defer dispositions. This way, a Judge 'pardons' an accused person. However, no evaluation has so far been made to find out the better approach. Through a pardon, the state expresses forgiveness and reconciliation after having imposed the jail term. The idea of 'expunging' or 'sealing of a criminal record' started in 1940 in the US. This was largely applied to juvenile offenders, who through this mechanism were given a 'clean slate' so that the effects of their incarceration would not affect them the rest of their lives. Now there are serious discussions on opening up this aspect to incarcerated persons of all ages. All but nine US States have made laws to reflect this approach with a varying scope of application. Even where conviction records are 'expunged' or 'sealed', an applicant for employment is required to disclose their criminal record. Such 'expungement' or 'sealing' is not a guarantee against exclusion from certain job opportunities that require background checks. In effect,

³ Collateral Consequences Resource Centre (CCRC) 'Forgiving and Forgetting - in American Justice: A 50-State Guide to Expungement and Restoration of Rights' (April 2018) 5 <<http://ccresourcecenter.org/wp-content/uploads/2017/10/Forgiving-Forgetting-CCRC-Apr-2018.pdf>> accessed 25 July 2023.

these mechanisms of restoring the rights of ex-convicts in USA have not yet risen to a level where an ex-convict, either through 'expungement' or 'sealing' of criminal records, can be considered 'clean enough' for employment opportunities.

In other words, 'punishment' continues even after a person has served the imposed punishment.

In Kenya, disclosure of criminal records in relation to employment is done through a 'Certificate of Good Conduct'. Section 55 allows for collection of personal data including fingerprints for the purposes of record and identification of all convicts.⁴ The Directorate of Criminal Investigations is mandated to collect, store and disclose criminal records.⁵ Police Standing Orders provide for the manner of taking of fingerprints.⁶ The major purpose of such records is to check - in case of an accused person - whether the person has a previous conviction. This report is used to determine the nature of the sentence to be meted out. However, appendix 15(a) also deals with police clearance certificates.⁷ Such certificates are for those who require a certificate of good conduct. For instance - under the Police Service Act - persons with a previous criminal record are not eligible to join the Police Service.⁸ This requirement applies to many state and public jobs in Kenya. The law does not differentiate whether the offence was minor, or the ex-convict was a minor when the offence was committed, even the period of imprisonment, or even age of the criminal record.

Any remark of a criminal record on that certificate spells doom to the dreams of an ex-convict of accessing employment.⁹ Such is the case also with certain professions that exclude ex-convicts. In recent times, there appears to be progressive developments aimed at integrating an ex-convict into the work place. This has been achieved through relaxation of certain laws and the expansion of the human rights sphere. Data protection laws have added an impetus to the protection of privacy rights. It is hypothesized in this paper that exclusion of ex-convicts from employment not only violates the individual's rights but also endangers the larger society by encouraging recidivism.

The public interest in disclosure of criminal records is best exemplified by the matter of Ian Huntley.¹⁰ Ian was convicted of the murders in 2003 of two girls at a place where he had been employed. Between 1995 and 1999, Ian had committed eight

sexual offences. However, the police station at which these crimes were reported had very poor record keeping practices which included omissions and deletions of information as the officers did not know which information to keep on the police records and which one to delete. There was no system of reviewing the records before deletion. There was also a disconnect between the police and social services with respect to information sharing. Although social services had reports that Ian had had sexual contacts with several girls below the age of consent, there records did not mention Ian's name. The intelligence system was disjointed, nay, non-existent. When Ian was appointed to Sohan Village College, there were no records to refer to regarding his criminal past. He was allowed to bring his own references. It was all agreed that had the previous records of sexual offences been available, Ian would not have been hired as a caretaker to deal with young girls. This case illustrates the need to disclose criminal records as a way of protecting the public.

II. CASE SUMMARY

In the matter of *Njoki*,¹¹ he was convicted in the year 2003 of the offence of creating disturbance and sentenced to six (6) months imprisonment. In his search for a job he is required to have a clean police clearance certificate. Sixteen years later with no repeat offence, the police issued him with a certificate of good conduct on 19th March 2019 and another one on 9th December 2019, both of which indicated that he had a criminal conviction. He wrote to respondent asking that the criminal record be erased to no avail. The petitioner claimed that the said indication of the conviction made it difficult for him to get a job. He was therefore unable to cater for his family. He argued that this violated his rights given that the criminal record was 20 years old. Respondent argued that they were the custodians of fingerprints and conviction records and that the record was accurate. They further stated that a criminal record could only be erased if the conviction was either quashed or on application of the discretionary 20-year rule. The court observed thus- '23. [...]. I have perused the key criminal statutes in Kenya namely; The Penal Code Cap 63, the Criminal Procedure Code Cap 75 and the National Police Service Act of 2011 and note that there is no legal provision or basis for expungement of criminal records in Kenya.' In Kenya, therefore, a criminal record locks out a person from gainful employment, more or less permanently. Ex-convicts are thus released into society but prevented from gainful employment.

It is apparent here that the petitioner in this case had not committed another offence for 16 years. And that he had been imprisoned for six (6) months,

⁴ National Police Service Act of 2011

⁵ *ibid*, s35(f).

⁶ National Police Service Standing Orders Kenya Gazette No 89 Legal Notice No. 100 (9 June 2017) Chapter 15 rule 26.

⁷ *Ibid* Appendix 15(a) S12

⁸ s 12(3)(c).

⁹ *R (T) v Chief Constable of Greater Manchester Police (Liberty intervening)*, *R (B) v Secretary of State for the Home Department (Liberty intervening)* [2015] AC 49 [45].

¹⁰ *The Bichard Inquiry Report* (2004) HC 653).

¹¹ n1.

indicating that the offence committed was not very serious. Further, the reference to a discretionary rule of 20 years means there is room for unchecked arbitrariness, contrary to the rule of law.

Under Kenyan law, all manner of criminal convictions are to be disclosed. It does not matter how long ago the applicable offence was committed, its nature, and its relation to the job applied for. In other words, it seems that the Government and society generally, do not believe that convicts can reform!

III. SITUATION ANALYSIS

This same Government has the responsibility to ensure convicted persons serve the punishment for their crime while at the same time, reform to be integrated back into the society. The Kenya Prisons Service is charged with rehabilitation and transformation of prisoners through learning, counseling education and career programmes. It is to ensure reformation of prisoners for social re-integration.¹² The Probation Service in Kenya offers aftercare services for reintegration and resettlement of ex-convicts.¹³ Imprisonment is supposed to serve the purposes of punishment and rehabilitation. Punishment, in turn, serves three main purposes, firstly, to show the offender that the impugned action is frowned upon by society. Secondly, to serve as a deterrence against both a repeat by the individual and by others who may be tempted into similar action. And thirdly, retribution. By retribution is meant that the wronged person gets a sense of justice, knowing that the person who wronged them has been punished. Rehabilitation prepares a convict for re-integration back into society. What has proved elusive is the aspect of rehabilitation, the main focus of this paper. For incarcerated persons, their stay in prison is also meant to 'rehabilitate' them, prepare them for 'reintegration' back into society. Unfortunately, society worldwide does not appear to believe that rehabilitation does take place.

Ex-convicts worldwide have challenges getting back into gainful employment. Many countries reportedly use a conviction to exclude former prisoners from employment.¹⁴ Global statistics bear this out. Pager studied the effects of a criminal record on beginners jobs that did not require more than a high school certificate involving 350 employers in Milwaukee, USA. He found that about 75% of employers asked about an applicant's criminal record while 27% of employers indicated that they would seek the information. Many employers in USA would not hire

an ex-convict. Sixty percent of ex-convicts were unemployed at the end of the first year and 67% after five years following their release.¹⁵ Looney & Turner found that ex-convicts struggle to get employment. And those who get jobs are underpaid.¹⁶ In other words, such employees with previous conviction records either earn less or are hired in lower level jobs. Other researchers found that applications that show criminal records are hardly considered.¹⁷ Lord Wilson said in *T* at para 45: "In these days of keen competition and defensive decision-making will the candidate with the clean record not be placed ahead of the other, however apparently irrelevant his offence and even if otherwise evenly matched?"¹⁸

It is thus apparently clear that a criminal record closes doors to employment.¹⁹ Omission on the part of authorities to avail records of previous offences is blamed for the hiring of a person who later murdered two young girls.²⁰

Additionally, it has been found that many professions require practitioners to be licensed²¹ and when applying for such a licence, one is required to indicate whether one has ever been convicted of a criminal offence, especially for offences whose prescribed punishment is six months in jail. Persons with such criminal records are normally denied a license or registration in many jurisdictions. Ex-convicts don't easily integrate back into mainstream society and more particularly into employment.²² This situation is

¹⁵ Ella Baker Center for Human Rights, Forward Together & Research Action Design *Who Pays - The True Cost of Incarceration on Families* at <<https://www.whopaysreport.org/about-the-project/>> accessed 2 February 2024.

¹⁶ A Looney & N Turner, *Work and opportunity before and after incarceration* (The Brookings Institution March 2018) < <https://www.brookings.edu/articles/work-and-opportunity-before-and-after-incarceration/>> accessed 9 February 2024.

¹⁷ D Pager, 'The Mark of a Criminal Record' 108(2003)3 *AJS* 937-975 <<https://www.journals.uchicago.edu/doi/abs/10.1086/374403>> accessed 9 February 2024; D Pager, B Western & N Sugie 'Sequencing Disadvantage: Barriers to Employment Facing Young Black and White Men with Criminal Records' 623 (May 2009) *AAPSS* 195-213 <<https://journals.sagepub.com/doi/abs/10.1177/0002716208330793>> accessed 6 February 2024; D Pager, B Western & B Bonikowski 'Discrimination in a Low-Wage Labor Market: A Field Experiment' 74 (Oct 2009)5 *ASR* 777-799 < <https://scholar.harvard.edu/files/bonikowski/files/pager-western-bonikowski-discrimination-in-a-low-wage-labor-market.pdf>> accessed 7 February 2024.

¹⁸ n9.

¹⁹ Pager (n17).

²⁰ n10.

²¹ A Richmond, Preliminary review of country studies on occupational licensing Benefits and Shortcomings in Limiting Entry on the Labour Market (ILO, 2019) <https://www.ilo.org/wcmsp5/groups/public/---ed_emp/---ifp_skills/documents/publication/wcms_818228.pdf> accessed 31 January 2024.

²² RB Freeman, "The Relation of Criminal Activity to Black Youth Employment." 16 (1987)1-2 *RBPE* < <https://journals.sagepub.com/doi/10.1007/BF02900926>> accessed 15 January 2024 99-107; D Nagin and J Waldfogel, 'The Effect of Conviction on Income through the Life Cycle' NBER Working Paper no. 4551. Cambridge, Mass.: National Bureau of Economic Research 1993 <<https://papers.ssrn.com>>

¹² Prisons Act Chapter 90 Laws of Kenya.

¹³ Probation of Offenders Act 11 of 2017.

¹⁴ LD Clark 'A Civil Rights Task: Removing Barriers to Employment of Ex-convicts' 38(2004) *University of San Francisco Law Review* 193 < <https://repository.usfca.edu/cgi/viewcontent.cgi?article=1258&context=usflawreview>> accessed 9 February 2024.

exacerbated by numerous laws and regulations that prohibit ex-convicts from employment.

A classic example is that of Ms Blake.²³ The applicant had operated a day-care for children for about a decade when authorities caught up with her for a misdemeanor conviction that was 30 years old and canceled her licence permanently. For 30 years, Ms Blake had not committed another offence!

The matter of denying a person employment on account of criminal records was also considered in Missouri in September 1970, where Buck Green, the plaintiff and a black man aged 29 years applied for a clerical job at defendant's Personnel Office St. Louis, Missouri.²⁴ He was required to and he filled out an application form. He indicated on the form that he had served a jail term of twenty-one months for refusing to do service in the military. He was informed that his application could not be considered because of the conviction and prison record. The company had a policy of not hiring persons with arrest and conviction records, except for minor traffic offenses. The 8th circuit stated that 'we cannot conceive of any business necessity that would automatically place every individual convicted of any offense, except a minor traffic offense, in the permanent ranks of the unemployed'.

Also in Pennsylvania the matter of criminal records affecting employment came up in matter of *E/* where the appellant/plaintiff was hired on a conditional basis as a driver for para-transit buses to drive persons with disabilities.²⁵ The agent was given firm instructions not to hire ex-convicts. Shortly after being hired, the respondent found out that the appellant had a 40-year old conviction. The appellant had been involved in a gang fight in which some people were shot. The appellant had argued at the time of the criminal proceedings that he did not pull the trigger. He had no subsequent convictions 40 years on. He was terminated after a background check. The appellant argued that respondent's use of a criminal record was discriminatory. Respondents adduced expert evidence to the effect that ex-convicts of violent crimes had a high rate of recidivism and were a great risk in the transport sector and more so to vulnerable persons like those with disabilities. The Third Circuit scoffed at the respondent's general policy of keeping ex-convicts out of her employment but found for the respondents based on overwhelming evidence on recidivism. The unfairness of

the decision of the District Court lies in two facts. Firstly, the crime for which the appellant had been convicted had nothing to do with the job he held, and secondly, 40 years had lapsed without the appellant committing another crime.

Similarly, in South Africa, the issue regarding criminal records in relation to employment was raised in the matter of *Maswanganyi*²⁶ where the appellant, - a soldier - was convicted on a charge of rape and imprisoned for life on 18 July 2014. When he appealed he was denied bail. His appeal succeeded on 13 Feb 2015. A month later, he submitted a letter for 're-employment'. He was informed of his termination while in prison where one of his superiors visited him and asked him to sign papers related to his pension. He filed an application in the High Court for reinstatement and payment of his salary from 18 July 2014 to 13 Feb 2015. He argued that he was not suspended from duty upon being charged and that between hearings he attended to work related activities. It was urged for him that the quashing of his conviction on appeal made his termination unlawful and respondent's refusal to reinstate him was unconstitutional. Respondent argued that the appellant concealed the fact of his trial and that respondent only knew about it after his conviction and sentence. They further argued that once he was convicted and jailed, his services with the defence forces stood terminated. And further that the law was silent on powers of respondent to reinstate appellant. Accordingly, respondents argued that appellant could only apply for re-employment. The High Court ordered for reinstatement and payment of all back salaries. Respondent appealed. The Supreme Court of Appeal reversed this decision saying that the termination follows the operation of law on account of the conviction and sentence handed down. At the Constitutional Court the appellant argued amongst others that his right to fair trial was impaired in that he continues to suffer even after the original conviction and sentence were set aside. The issue was whether his services stood terminated upon conviction by the trial court or at the end of an appeal process. So held the court:

[41] The words "conviction" and "sentence" in section 59(1)(d) of the Defence Act must thus be interpreted to refer to valid and final convictions and sentences, where there is an appeal. Once the decision of the trial court was set aside, there was no longer any lawful conviction nor sentence [...]. The member would no longer have a criminal record and no purpose would be served by continuing to subject such a member to the penal provisions of the section.

The same concern regarding ex-convicts' chances in employment applies in the United Kingdom. This is illustrated in a case where the plaintiff had a

com/sol3/papers.cfm?abstract_id=226769> accessed 5 January 2024; Pager (n17); B Western & K Beckett 'How Unregulated is the U.S. Labor Market? The Penal System as a Labor Market Institution.' 104 (1999) AJS 1030-60 <<https://www.journals.uchicago.edu/doi/abs/10.1086/210135>> accessed 5 February 2024.

²³ *Blake v Jossart* 868 N.W. 2d 198 (Wis. Ct. App. 2015) (No. 2012AP2578), review granted, 872 N.W. 2d 668 (Nov. 4, 2015).

²⁴ *Green v Missouri Pacific Railroad* 523 F.2d (8th Cir 1975).

²⁵ *El v Southeastern Pennsylvania Transportation Authority* 479 F.3d 232 (3d Cir. 2007).

²⁶ *Mozamane Teapson Maswanganyi v Minister of Defence and Military Veterans and Others* [2020] ZACC 4

degree in education and was qualified as a teacher. She worked in Spain until she fell ill when she decided to go back to United Kingdom in March 1999. In July and August 1999, P was cautioned for stealing a sandwich and for lifting a book worth 99p respectively. She thought the book 'spoke' to her. She was 28 years, homeless and suffering from undiagnosed schizophrenia when she committed the offences. In 2000 she was diagnosed with schizophrenia. She used to have hallucinations. By 2003 she had improved. She has been unable to get a job as she believes it is because of her having to disclose her previous offences²⁷. She is thus condemned to a life of hopelessness. This case illustrates the disclosure of records without context, where say for example, a person's past acts were not based on criminal intent but poor mental health which has since been medicated and controlled.

In another case, while aged 13, G was arrested and charged with two counts of sexual offences involving 'sexual curiosity' with two younger boys in August 2006.²⁸ In September 2006, the Police issued G with two reprimands. He committed no further crimes. He was later hired as a Library assistant. In 2011 he was asked to disclose his criminal record. He lost his job. He has been struggling - rather unsuccessfully - for another job because of disclosure requirements. He lost a job because of some earlier juvenile curiosity, which can be related to being a child at the time but as an adult who has refrained from such acts and has been a law abiding citizen, surely, the reformed behavior and years of being a law abiding citizen should count for something!

As a result of such occurrences, there is a push by both supporters and opponents to the practice of licensing to reduce barriers to professional occupations by ex-convicts.²⁹ Although many states use a conviction to exclude persons from certain employment. This is not necessary where the requirements of the job are unrelated to the nature of the conviction.³⁰ The court considered three factors - popularly known as the Green factors - that could guide an employer in dealing with ex-convicts. These are firstly, the weight of the offense; secondly, the time lapse since the offense was committed and/or the sentence completed. and thirdly, the nature of the job held or sought. These factors have

²⁷ R (P) v Secretary of State for Justice [2017] EWCA, R (G) v Chief Constable of Surrey Police and R (W) v Comr of Police of the Metropolis [2018] 1 WLR 3281

²⁸ R (G) v The Chief Constable of Surrey Police and Others [2016] EWHC 295.

²⁹ MM Kleiner *Reforming Occupational Licensing Policies*, The Hamilton Project (Jan. 2015) at 13; MN Rodriguez & B Avery 'Unlicensed & Untapped: Removing Barriers to State Occupational Licenses for People with Records' *National Employment Law Project* April 2016 at <www.nelp.org> 23 May 2023

³⁰ n14

been adopted by the US Equal Employment Opportunity Commission (EEOC).³¹

a) *Recidivism*

There appears to be a fear that ex-convicts will recidivise, which means go back to their 'criminal ways' so that they land back in jail³². Recidivism is blamed on lacking support systems both inside the prison and outside. 'Recidivism' considered to be the chance that an ex-convict will offend the justice system again and go back to prison.³³ Some authors have observed that in Kakamega County, about 75% of ex-prisoners are likely to commit a crime within three years and 50% are likely to go back to prison. The global rate is estimated at 80% recidivism within 10 years. In Kenya, recidivism is said to account for about 35% of all inmates. These studies point to the fact that not all ex-convicts want to continue with the life of crime.

Some researchers followed a group of 500 delinquent men in the Boston area in a longitudinal study from age 7-70 to determine the pattern of recidivism and desistance from crime.³⁴ Information was collected from both state and national criminal records history. They found that the overall pattern of crime declined with age after ages 16/17. All crimes declined significantly in the middle thirties. The study found that there was no specific group that was prone to criminal activities. In addition, there appeared to be general desistance at work over time discouraging the participants from continuing in a life of crime. This study speaks to the fact that employment can contribute to 'reversing' a 'bad' to a 'good' moral character.

Taking these studies into consideration and considering the cases cited and reviewed in the foregoing sections, the ex-convicts in question served punishment and seemed to have reformed because they did not have another conviction on record and they clearly wanted to earn an honest living. For sixteen years, Njoki had not committed another crime.³⁵ Ms Blake was sacked for a crime that was 30 years old.³⁶ El was dismissed although he had not had a recurrent

³¹ US EEOC *Enforcement Guidance (No. 915.002 of 4/25/2012 on the Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964, (as amended)* at <<https://www.eeoc.gov/laws/guidance/enforcement-guidance-consideration-arrest-and-conviction-records-employment-decisions#1>> 24 January 2024.

³² R Weisberg, 'Meanings and Measures of Recidivism' (2018) SCLR <https://southernjournaloflawreview.com/wp-content/uploads/2018/01/87_785.pdf> accessed 9 February 2024.

³³ EM Oruta & WFM Luyt, 'Correlates Of Recidivism Among Released Prisoners: A Study of Kakamega County, Kenya' (2021) 109 *Journal of Law, Policy and Globalization* <<https://www.iiste.org/Journals/index.php/JLPG/article/viewFile/56392/58233>> accessed 5 January 2024.

³⁴ RJ Sampson & JH Laub 'Life-Course Desisters? Trajectories of Crime Among Delinquent Boys Followed to Age 70' 41(2003) 3 *Criminology* <https://scholar.harvard.edu/files/sampson/files/2003_crim_laub_1.pdf> accessed 4 February 2024.

³⁵ n1.

³⁶ *Blake v Jossart* (n23).

crime for 40 years since the last one he had committed.³⁷ P was kept out of employment although she had no repeat criminal record for four years.³⁸ G lost a job in 2011 because of a crime committed under childish 'curiosity' in 2006. There was no other record of a crime.³⁹ These examples, though far and wide, illustrate the point that not all ex-convicts are prone to 'recidivism'. And further that the laws that keep ex-convicts out of employment can be outright 'unfair'. Lord Kerr had this to say about such laws:⁴⁰

113. [...] If previous convictions or cautions were irrelevant or only marginally relevant to an assessment of the suitability of an applicant for a particular post, the requirement that there be disclosure of all recordable convictions or cautions went against the interests of re-integrating ex-offenders into society to enable them to lead positive and law-abiding lives.

Onyango studied the factors that affect rehabilitation of prisoners in Kenya.⁴¹ These include inadequate infrastructure, human resource, lack of integrity and low morale of the staff. Failures of the state to have an effective rehabilitation programme is attributed to infrastructural and human resource factors.⁴² On infrastructure, all prison facilities host larger numbers than originally planned for. This makes the living conditions of the prisoners not only very uncomfortable but some develop aggressive tendencies or have such tendencies reinforced. On the human resource factor, the author identifies lack of capacity (proper training) of prison officers, lack of integrity of some prison officers, low morale amongst prison officers and poor housing for prison staff. It is submitted that these factors reflect a failure on the part of the state. Having so failed to provide for a conducive environment to effectively rehabilitate prisoners, the state should not be allowed to create a situation where the rights of those who have served their terms continue to be violated.

In any case, where an ex-convict is barred from employment by operation of 'law' - how is such a person expected to feed themselves outside of the prison? How can such persons pay for healthcare? How can they pay school fees for their children? How can they clothe themselves? We argue that barring ex-convicts from employment is an incentive for them to continue with a life of crime.

b) Effect of length of incarceration on chances of employment

One of the factors considered to affect recidivism is the period of incarceration. Some employers also use this factor to 'lock' ex-convicts from jobs. Ramakers *et al* studied the effect of length of incarceration on chances of getting employment. They studied 702 subjects whose prison terms were short with a mean of 3.6 months. They found that those imprisoned for terms less than six months had higher chances of employment as opposed to those who spent six or more months in jail.⁴³

Empirical research in Kenya revealed disparities in sentencing. For example for one and the same offence of manslaughter, different courts meted out sentences ranging from one year to 20 years in prison, possession of narcotics attracted jail terms varying from two months to two years, and theft was penalized by jail terms ranging from one month to three years.⁴⁴ There is therefore no clear relationship between the severity of crime and the punishment.

Some authors identified the following characteristics of offenders such as age, gender, number of convictions, type of offence, period between incarcerations, type of prison sentence, and any evidence of Drug use prior to imprisonment. They found a significant relationship between these personal/offender characteristics and recidivism. Nevertheless, those thought capable of recidivism are those who committed offences beneficial to them such as theft and those who were jailed for a very short period such as one week to six months as they would not have had sufficient time for rehabilitation.⁴⁵

From the foregoing, it is doubtful whether a policy of re-employing ex-convicts based on either length of incarceration or type of offence would be a fair practice. The new UK Scheme of disclosure of criminal records that includes differentiation based on periods of incarceration⁴⁶ and or as suggested by the 'Green Facts'⁴⁷ is already under attack.⁴⁸

c) Labeling and Its Effect on Ex-convicts

The labeling theory postulates that a person is likely to act in a manner that validates a tag society has

³⁷ n25.

³⁸ n27.

³⁹ *ibid*

⁴⁰ n27 (Lord Kerr dissenting).

⁴¹ JO Onyango 'The Challenges Facing Rehabilitation of Prisoners in Kenya and the Mitigation Strategies' 2(2013)2 *IJRS* < <https://docplayer.net/1757616-The-challenges-facing-rehabilitation-of-prisoners-in-kenya-and-the-mitigation-strategies.html> > accessed 6 February.

⁴² *ibid*.

⁴³ A Ramakers, R Apel, P Nieuwbeerta, A Dirkzwager & J van Wilsem 'Imprisonment Length and Post-Prison Employment Prospects' <<http://onlinelibrary.wiley.com/doi/10.1111/crim.2014.52.issue-3/issue-toc>> accessed 22 July 2023.

⁴⁴ SM Kinyanjui & M Akech 'Towards Structured Sentencing in Kenya: A Case for Reform' 9(2016) 1 *AJCS* 266 < https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3624169 > accessed 15 January 2024.

⁴⁵ EM Oruta & WFM Luyt 'Correlates of Recidivism Among Released Prisoners: A Study of Kakamega County, Kenya' 109(2021) *Journal of Law, Policy and Globalization* <<https://www.iiste.org/Journals/index.php/JLPG/article/viewFile/56392/58233> > accessed 5 January 2024.

⁴⁶ *R(P) v Secretary of Justice* (Lady Hale) [75] (n27).

⁴⁷ *Green v Missouri Pacific Railroad* 523 F. 2d (8th Circ 1975).

⁴⁸ n27.

placed upon them.⁴⁹ A person who is labeled and branded as an ex-convict is likely to face shame and humiliation, factors that could explain an ex-convict's return to deviant behaviour. This should be more so when society rejects ex-convicts in employment. Such persons have been labeled as 'criminals' whom many members of society, including employers want to keep at a safe distance. This creates a situation of lack of acceptability in society, and more critically, an ex-convict may not have an opportunity to earn a decent income to enable them keep off deviant behavior.

Pager and Quillian set out to investigate whether employers do what they say. They carried out an experimental study in which they compared what employers self-report and what they actually do in real employment situations. They found that on a self-report survey about 60% expressed willingness to hire ex-convicts while in actual situation the result was below 20%. Under actual situation, the study subjects presented themselves to the person responsible for hiring.⁵⁰

Whereas society feels aggrieved by a person's criminal conduct, the same society should be made aware of the 'rehabilitative' aspect of imprisonment. In addition to the label, society needs to appreciate that people change and that part of the prison's mandate is to rehabilitate a convict. This 'labeling' can be seen as a continuation of a punishment fully served in accordance with the law, and therefore, totally unnecessary. This 'labeling' does not therefore sit well with the rights under art 27.⁵¹ This 'labeling' is further reinforced by the exclusion of ex-convicts from employment. Lord Kerr opined that 'some employers will consider a criminal record as an automatic disqualification to employment'.⁵² The German Constitutional Court got it right when it said that once a criminal punishment has been served, an ex-convict would have paid his debt to society.⁵³ There is therefore no need to keep bringing up the criminal record. It is disclosure of criminal records that has caused many ex-convicts, Njoki included⁵⁴ tremendous suffering even in cases where there has been no repeat offence.

d) Importance of hiring ex-convicts

Studies suggest that employment tends to reduce the subjects' chances of committing crime.⁵⁵

Also, it was established that good jobs lowered the risk of recidivism, steady jobs make ex-convicts feel appreciated and welcome back into society, and that employment reduces the desire for criminal behaviour. Besides, earnings from employment enables persons to pay their bills and afford some luxuries of life. It is also said that employment reduces chances of engaging in 'income-generating' crimes. It is important to offer employment to ex-convicts because a strong relationship appears to exist between unemployment and recidivism.⁵⁶

e) Rights of ex-convicts

The whole debate on whether to disclose previous criminal offences in a certificate of good conduct revolves between on the one hand respecting the rights of an ex-convict to privacy, dignity and 'not to be subjected to degrading treatment', and on the other hand - protecting the public from possible harm (through recidivism).

Appeals to the European Court of Human Rights (ECtHR) dealing with disclosure of conviction records have been based on art 8 of the European Convention on Human Rights (ECHR) which prescribes the right to privacy.⁵⁷

The ECHR does not mention the phrase 'human dignity' although the Universal Declaration of Human Rights (UDHR) contains it. The UDHR uses 'human dignity' both in the preamble and at article 1. The right to privacy is contained at article 12 of UDHR.⁵⁸ Both UDHR and ECHR contain prohibition against 'torture, inhuman or degrading treatment or punishment' at articles 5 and 3 respectively. The African (Banjul) Charter on Human and Peoples Rights contains the phrase 'human dignity' both in the preamble and at article 5. In fact, article 5 uses 'dignity' in the same breath as the prohibition against 'slavery, servitude, degrading or inhuman treatment or punishment'.⁵⁹

The Constitution of Kenya contains provisions on human 'dignity',⁶⁰ 'freedom and security of the person', including a prohibition on 'inhuman or degrading treatment or punishment',⁶¹ 'slavery, servitude and forced labour',⁶² and 'privacy'.⁶³ The limitation of rights and fundamental freedoms provided

[%20employment%20and%20recidivism.pdf](#) accessed 9 February 2024.

⁵⁶ n14.

⁵⁷ 1950 European Convention on Human Rights at <https://www.echr.coe.int/documents/d/echr/Convention_ENG> 3 Feb 2024

⁵⁸ 1948 UN Universal Declaration of Human Rights at <<https://www.un.org/en/about-us/universal-declaration-of-human-rights>> 3 Feb 2024

⁵⁹ Adopted in 1981 and came into force in 1986 at <<https://www.african-court.org/wpafc/wp-content/uploads/2020/04/AFRICAN-BANJUL-CHARTER-ON-HUMAN-AND-PEOPLES-RIGHTS.pdf>> 3 Feb 2024

⁶⁰ n51, art 28.

⁶¹ *ibid*, art 29.

⁶² *ibid*, art 30.

⁶³ *ibid*, art 31.

⁴⁹ H Becker, *Outsiders; Studies in the Sociology of Deviance* (London, Free Press of Glencoe 1963).

⁵⁰ D Pager & L Quillian 'Walking the Talk? What Employers Say Versus What They Do' 70(Jun 2005) 3 *American Sociological Review* ABI/INFORM Global pg. 355

⁵¹ Constitution of Kenya, 2010

⁵² n 27 (Lord Kerr dissenting)

⁵³ *The Case of Lebach* German Constitutional Court 5 June 1973 BVerfGE 35, 202.

⁵⁴ n 1

⁵⁵ MT Berg & BM Huebner 'Reentry and the Ties that Bind: An Examination of Social Ties, Employment, and Recidivism' 28(2011)2 *Justice Quarterly* 382-410 <<https://www.pacific-gateway.org/reentry>,

for under article 24 mirrors that in art 8(2) of the ECHR. Such limitation must have a basis in law, be 'reasonable and justifiable in an open and democratic society'. Restrictions based on law has been interpreted by the ECtHR to mean that there must be a law and that such a law must be 'accessible and foreseeable'. It must not authorize the exercise of power that is not constrained by law (arbitrariness). Such a law must not confer a broad discretion so that its exercise is made dependent on the will of those executing it. The law itself must 'contain safeguards against arbitrariness'.⁶⁴ The law must be 'specific on the scope of discretion allowed to officials'.⁶⁵

In the matter of MM in which the recording of criminal convictions in Northern Ireland was governed by statute but their retention and disclosure by common law, the court observed that the 'extent of discretion under the common law was not specific'. There was no mechanism for independent review as to whether to retain the criminal records or not, and there was no statutory provision on which records to disclose, their relevance to the job applied for, the time that has lapsed since the offence was committed, and to the nature of the offence. The court found that the officials had unfettered discretion and therefore, their actions were not anchored in law.⁶⁶

Decisions of the ECtHR on limitation of the right to privacy especially concerning disclosure of criminal records have been interpreted in the UK as requiring the law to be so precise as to reduce arbitrariness and accord the public protection against wide exercise of discretion by public officials.⁶⁷

The Constitution of Kenya provides for various rights and fundamental freedoms at chapter four. The preamble to the said Constitution provides so far as is relevant to this discourse that -⁶⁸

PREAMBLE

We, the people of Kenya —

[...]

COMMITTED to nurturing and protecting the well-being of the individual, the family, communities and the nation:

RECOGNISING the aspirations of all Kenyans for a government based on the essential values of human rights, equality, freedom, democracy, social justice and the rule of law:

[...]

The preamble to the Constitution sets the tone for the entire document. Human dignity appear to be at the centre of the entire document. In the matter of *Makwanyane*⁶⁹, the Constitutional Court of South Africa analyzed the preamble to find that the death penalty - based on revenge - was not in tune with the tenor of the constitution. When an ex-convict is locked out of employment and thereby subjected to a life of difficulties, the convict, their family and their community suffer. This case has been cited with approval in Kenya.⁷⁰

In the matter of *Gregg*⁷¹, Brennan J stated that '[It is] thus inconsistent with the fundamental premise of the Clause that even the vilest criminal remains a human being possessed of common human dignity.' In Germany, the Federal Constitutional Court has held regarding punishment that.⁷²

Respect for human dignity especially requires the prohibition of cruel, inhuman, and degrading punishments. [The state] cannot turn the offender into an object of crime prevention to the detriment of his constitutionally protected right to social worth and respect.

At the beginning of 1969 in Germany, the Petitioner - together with others - planned a raid on a Bundeswehr/Federal Army ammunition depot.⁷³ The petitioner was involved in a robbery in which four sleeping soldiers were killed, seriously injured another and stole weapons and ammunition. The petitioner was sentenced to six years imprisonment for being an accessory. After serving two thirds of the sentence and while awaiting remission of the remaining sentence to be suspended on probation, a German television station named "Zweites Deutsches Fernsehen" (ZDF) commissioned a documentary with the title "The Soldiers' Murder of Lebach". The documentary showed how the armed robbery was planned and executed. It contained the name and images of the petitioner, giving his background, including his homosexual behaviour. The petitioner sought an injunction to prohibit ZDF from broadcasting the documentary on the ground that the documentary violated several of his rights such as his personality rights, ownership rights, and his right to his image. It was argued in his favour that this documentary would cause social isolation of petitioner and make his rehabilitation difficult. Respondents argued that the petitioner's private rights were not superior to the public interest to know and to the right of broadcasters to inform the public. Respondents averred that the public

⁶⁴ *Huvig v France* (1990) 12 EHRR 528, at para 26; *Kruslin v France* (1990) 12 EHRR 547; *Malone v United Kingdom* (1985) 7 EHRR 14; *Silver v United Kingdom* (1983) 5 EHRR 347; *Sunday Times v United Kingdom* (1979-80) 2 EHRR 245.

⁶⁵ *Amann v Switzerland* (2000) 30 EHRR 843, para 56), *Rotaru v Romania* (2000) 8 BHRR 449, para 55.

⁶⁶ *MM v United Kingdom* (Application No 24029/07), 29 April 2013

⁶⁷ *R (Gillan) v Comr of Police for the Metropolis* [2006] 2 AC 307, para 34 (Lord Bingham); *R (Purdy) v Director of Public Prosecutions* [2010] 1 AC 345, at para 41 (Lord Hope); *R (T) v Chief Constable of Greater Manchester Police* [2015] AC 49 (Lord Reed).

⁶⁸ n51.

⁶⁹ *S v Makwanyane & Anor* (CCT 3/94) [1995] ZACC 3; 1995(6) BCLR 665.

⁷⁰ *J O O (also known as J M) v Attorney General & 6 others* [2018] eKLR (HCT) par 63

⁷¹ *Gregg v Georgia*, 428 U.S. 153, 173 (1976) (Brennan J, dissenting).

⁷² [1977] 45 BVerfGE 187, 228 (*Life Imprisonment* case) (as translated in Kommers, KOMMERS, THE CONSTITUTIONAL JURISPRUDENCE OF THE FEDERAL REPUBLIC OF GERMANY 315 (1989) at 316).

⁷³ n53

had a legitimate right to know and that the documentary sought to serve as a deterrent to would be offenders, improve the morals of society and to promote social justice. In agreeing with the petitioner, the Constitutional Court unanimously held that where a crime had been prosecuted and a sentence issued in accordance to the law, that was sufficient retribution for the public.

The 'right to dignity' and 'freedom from torture and cruel, inhuman or degrading treatment or punishment' are non-derogable rights. In the matter of *Muriithi* in which the prosecution sought to use samples in court obtained from accused persons without their consent, the court stated that this violated their right to dignity.⁷⁴ Kenyan courts have also dealt with the question of the right to dignity in matters involving forceful evictions of persons considered to be inhabiting public land.⁷⁵

Another decision from the South African Constitutional Court in *Mayelane v Ngwenyama and Another* (CCT 57/12) [2013] ZACC 14 has been cited with approval by the High Court thus-⁷⁶

53 [...] the right to dignity includes the right-bearer's entitlement to make choices and to take decisions that affect his or her life – the more significant the decision, the greater the entitlement. Autonomy and control over one's personal circumstances is a fundamental aspect of human dignity.

We submit without any fear of contradiction that an income (read employment) enables an individual to realize and enjoy all other rights. A government based on 'essential values of human rights' must take care of the rights of ex-convicts as well. In any case, article 27 outlaws any form of discrimination. Whereas the phrase 'rule of law' has been recited numerous times with reference to obedience of the law - with respect to ex-convicts- rule of law should mean that upon serving their lawful sentence - then a conviction that led to the said sentence should not be used against them forever. The purpose of a lawful sentence is to mete out punishment commensurate with the offence for which a person was convicted. Once the sentence is served, then the 'debt' to society and the wronged person should be considered 'paid' and the ex-convict allowed to move on with their lives or have a fresh start in life.⁷⁷

Chapter four of the constitution is dedicated to rights that may be enjoyed by persons living in Kenya, complete with mechanisms for redress. Whereas some rights are deemed not absolute or can be limited, the manner of their limiting is clearly spelt out. There is no express limitation of rights based on a conviction record.

Besides, the right to dignity is non-derogable. We forcefully submit that the practice of humiliating ex-convicts or of subjecting them to ridicule long after they have fully served their lawful sentence is a gross violation of their right to dignity.

Under Kenyan law, a state agency is required to ask for compliance certificate which invariably includes a report from the Directorate of Criminal Investigations (DCI) regarding a record of convictions, if any. The DCI is the custodian of all criminal records in the country. Non-state employers may ask for such clearance as well.⁷⁸ A criminal record on such a certificate spells doom on any hope of being hired. Nothing in the indicates how long such records are to be kept. Nothing in the law speaks to whether certain criminal records 'expire'. Nothing in the law differentiates a serious crime from a minor one - all have to be indicated. Nothing in the prescribes whether it is necessary to relate the conviction to the potential employment for which a certificate of good conduct is sought.

The constitution further provides for the right to dignity,⁷⁹ freedom of association,⁸⁰ and economic and social rights.⁸¹ The constitution is geared towards promoting the well-being of an individual. The rights referred to attach to an individual. It is common knowledge that an income facilitates enjoyment of many other rights such as acquisition and ownership of property, ability to afford healthcare services, ability to afford food and shelter, ability to move around and associate with others, and ability to pay for other services such as telephone, internet, water and electricity. These basic needs and necessities are at the core of the right to dignity. Realization of other needs is easier to achieve when these basics are catered for.

The practice of 'hanging' onto criminal records whose effect is to deny ex-convicts a chance to employment should be construed as an action of 'turning the ex-offender 'into an object of crime prevention'. The studies by Berg & Huebner⁸² illustrate the importance of the right to dignity. A source of income enables a person to live in dignity. We submit that once a person has completed their prison sentence, their right to dignity should not be unnecessarily impaired either through societal labeling or regulatory policies such as those requiring a certificate of good conduct. The use of criminal records to deny ex-convicts a chance of employment appears to be a perpetuation of a punishment already served. To the extent that such an action denies them employment or acts as a

⁷⁴ *Muriithi v The OCS Meru Police Station* [2012] eKLR (HCt)

⁷⁵ *Kariuki v The Town Clerk of Nairobi City Council* [2011] eKLR (HCt); *Mitu-Bell Welfare Society v The Kenya Airports Authority* [2021] eKLR (SCt).

⁷⁶ *Mutuku Ndambuki Matingi v Rafiki Microfinance Bank Limited* [2021] eKLR (HCt) par 53

⁷⁷ n 53.

⁷⁸ Employment Act 2007 (as amended by Act No. 4 of 2023) s9.

⁷⁹ n51, art 28.

⁸⁰ *ibid*, 36.

⁸¹ *Ibid*, art 43.

⁸² n56.

restriction in employment should be construed as a violation of their right to dignity.

The right to privacy is one of those contained in the Constitution of Kenya. This right has been extended to mean the right to demand a 'pull down' of materials from the internet deemed unfavourable to a person. In Europe, this right has been extended to include the 'right to be forgotten'. Of late, this right has gained more premium through 'data protection laws'. In Europe, management of personal data that includes offenses, criminal proceedings, convictions and prison terms is only allowed where there is an enabling legislation. Whatever the case, care is to be exercised not to expose the data subject to the risk of discrimination.⁸³

In the matter of *Gonzales*⁸⁴ - in which the applicant sought his name to be hidden by a Spanish Newspaper and by Google in an article published about him being auctioned - the CJUE held that a data subject had a right to erasure of certain information that is prejudicial to their interest. This is more so if the said information has the effect of interfering with the person's privacy. More tellingly, the court observed that search engines have a way of collecting and putting together information about a person, and that search engines therefore can be classified as 'data processing'. According to the court, the right to privacy overrides any economic or public interest in such information.

It is instructive that none of the applicants to the ECtHR has alleged violation of the right to dignity. This is probably because such a right is not provided for in the ECHR. However, the German Constitutional Court the right to dignity and decided in favour of the petitioner. In Kenya, the right to dignity is non-derogable. Although this right was mentioned in Njoki, it was not forcefully argued. The question whether the practice in Kenya does offend the 'right to dignity' and the 'prohibition against inhuman or degrading treatment' - an equally non-derogable right may have to await judicial interpretation. We, however, submit that the current practice of indiscriminate disclosure of criminal records severely offends the spirit of the constitution as envisioned in the preamble and with respect to the aforementioned rights. The practice has the effect of exposing the Kenyan public to the risk of increased criminal activity through recidivism by unemployed ex-convicts

IV. BEST PRACTICES

Some researchers hold the view that a prison sentence should not be perpetually used to deny ex-

convicts opportunities for employment. Further that there is need for states to have an automatic mechanism for expunging criminal records based on the seriousness of the offense and the period out of prison. They aver that such an approach would not only make ex-convicts succeed but that it would also promote public safety.⁸⁵ '[...] it has been held by some courts that reliance on a criminal record to refuse employment violates Title VII where the criteria have an adverse impact on blacks and are not shown to be job-related.'⁸⁶

At Johns Hopkins Hospital, USA, ex-convicts are required to apply the normal way. Interviews are done. If one is selected, then the Hospital endeavors to place the person in the most appropriate section based on skills and experience. The Hospital assigns an offer to help the ex-convict transition to 'normal' society. At least 5% of all employees at the Hospital have a positive criminal record. The Hospital carries out background checks on all applicants after an offer has been made. A 3-6 year prospective follow-up of 79 such employees with criminal convictions showed that 73 (>92%) were still employed at the end of the study period. Based on the support at the workplace, ex-convicts have successfully joined the workforce at Johns Hopkins Hospital.⁸⁷ The Johns Hopkins Hospital employs ex-convicts bases on guidelines from the Joint Commission in the US. The Joint Commission,⁸⁸ a non-profit organization established in 1951 sets standards and has authority of accreditation in health care in the US. In evaluating compliance of health institutions with respect to hiring of ex-convicts, the Commission expects an institution to comply with State law. Where State law is missing or ambiguous, then an institution is required to formulate her own policies and abide by them. Institutions are required to document all criminal background checks.

In Wisconsin, the Fair Employment Act (WFEA) acts against discrimination based on a criminal record, amongst other characteristics.⁸⁹ This law has been described by the Supreme Court of Wisconsin as a

⁸⁵ L Couloute & D Kopf 'Out of Prison & Out of Work: Unemployment among formerly incarcerated people' July 2018 at <<https://www.pri.sonpolicy.org/reports/outofwork.html>> accessed 25 July 2023.

⁸⁶ *Griggs v Duke Power Co.*, 401 U.S. 424, 432 (1971), the Court invalidated the company's practice of barring persons from hire who did not have a high school degree because this requirement eliminated a disproportionate number of black applicants with-out a job-related justification. A number of whites who did not have a high school degree occupied the jobs to which the new rule had been applied.

⁸⁷ PD Paulk 'The Johns Hopkins Hospital Success in Hiring Ex-Convicts' (Sept 2016) at <<https://www.diversityincbestpractices.com/medialib/uploads/2016/09/Paulk-Presentation-Hiring-Ex-Offenders-09-142016.pdf>> accessed 24 January 2024.

⁸⁸ At <<https://www.jointcommission.org/standards/standard-faqs/hospital-and-hospital-clinics/human-resources-hr/000001355/>> accessed 22 January 2024.

⁸⁹ WIS. STAT. §§ 111.321, 111.36 (1999-2000).

⁸³ European Convention for the Protection of Individuals with Regard to Automatic Processing of Personal Data (as amended by the Council of Ministers of EU on 18 May 2018) art 6.

⁸⁴ *Google Spain SL and Google Inc. v. Agencia Española de Protección de Datos (AEPD) and Mario Costeja González* (judgment of 13 May 2014, C-131/12, EU:C:2014:317).

good attempt at eliminating barriers to employment.⁹⁰ This prevent the use of a conviction record in the hiring process.⁹¹ It has also been held that such laws help in rehabilitating ex-convicts and thereby providing them with the much needed form of livelihood.⁹² However, WFEA has an exception - unless the offence for which one was convicted is related to the nature of the work applied for. This exception is considered to be in line with other discrimination laws in other states based on convictions⁹³. The Supreme Court of Wisconsin - while interpreting this exception-held that employers only need to evaluate the elements of the crime with those of the job to decide whether to discriminate or not. This came up in *County of Milwaukee*, in which Steven Serebin was sacked after he was found guilty of homicide by reckless conduct and other crimes from his previous employment. The court held-⁹⁴

[T]he 'circumstances' of the offense and the job are similar since in both contexts Serebin was in a position of exercising enormous responsibility for the safety, health, and life of a vulnerable, dependent segment of the population. The twelve misdemeanors indicate a pattern of neglect of duty for the welfare of people unable to protect themselves. The propensities and personal qualities exhibited are manifestly inconsistent with the expectations of responsibility associated with the job.

In many States, the mechanism of 'deferred adjudication' helps accused persons to avoid a conviction record. Deferred adjudication is controlled by the court. An accused person, upon pleading guilty - the court continues with the case while the accused will be either on probation or supervision. Upon completion of supervision, a court will dismiss the charges and 'seal' or 'expunge' the record. Certificates of Relief such as a 'certificate of good conduct' is a mechanism that started in New York in the 1940's. These are issued by the Court either at sentencing or after a short wait upon release from prison. These do not 'seal' or 'expunge' the criminal record, but are aimed at showing that the bearer has 'reformed'.

The concept of 'deferred adjudication' finds a resemblance in the procedure foreseen in the Plea Bargain Bill in Kenya. Under the said Bill, a person who agrees to and complies with the conditions for plea bargain will not have a conviction record. This will be an indirect way of 'expunging' the criminal convictions.

However, the matter of arrests and presentation in court should not be used against such a person.

The UK has come up with a progressive law in which rehabilitation periods have been reduced tremendously thereby allowing ex-convicts to seek (re-) employment without their previous convictions acting as a bar. It has been made particularly easy for those who serve sentences of four years or less.⁹⁵ In addition, community service is prescribed for offences that require less than 12 months in prison. There is an exemption to what is considered to be serious offences such as serious violent, sexual and terrorism offenses. This exemption is deemed necessary to keep the public safe. In cases of custodial sentences of four or less years or more than four years but for less serious offences, the criminal record becomes 'spent' after a rehabilitation period of seven years or less years. It can no longer act as a bar to employment.

In the UK, there are attempts to get ex-convicts into employment in the shortest time possible. It is reported that 30% had been employed within six months of leaving prison. The thinking here is that getting ex-convicts busy prevents recidivism and makes the streets safe. Some of the measures implemented is to equip prisoners with skills needed in the job market outside of prison, career advisory services conducted in prison, coaching on how to write a CV, conducting mock interviews to prepare them on how to take interviews. The UK Prison Service also runs nationwide recruitment drives into careers where there are shortages. The Department for Work and Pensions also conducts activities aimed at making prisoners ready for work upon their release. Joe Shalam is quoted as having said:

Employment is proven to cut reoffending, while also providing prison leavers with the keys to a better and more stable life. It's a rare win-win that we should be doing everything to achieve.⁹⁶

Most of the disputes in Europe involving ex-convicts and disclosure of their criminal record while applying for a job have been based on art 8 of the EU Convention,⁹⁷ which focuses on the right to privacy. Both the ECtHR and Courts in the UK have accepted a domestic law limiting that right - which law must fulfill the conditions set in art 8(2). These touch on legality, access to the rules and foreseeability. Proportionality has not enjoyed a lot of discussion. The courts of appeal in England⁹⁸ as well as in Northern Ireland⁹⁹

⁹⁰ *County of Milwaukee v Labor & Indus. Review Comm'n*, 407 N.W.2d 908, 914 (Wis.1987).

⁹¹ *Miller Brewing Co. v Dept of Indus. Labor & Human Relations*, 308 N.W.2d 922,927 (Wis. Ct. App. 1981)

⁹² *County of Milwaukee v Labor & Indus. Review Comm'n*, 407 N.W.2d 908, 915 (Wis. 1987);

⁹³ TM Hruz 'The Unwisdom of the Wisconsin Fair Employment Act's Ban of Discrimination on the Basis of Conviction Records' 85 (2002) MARQLR779 <<https://scholarship.law.marquette.edu/cgi/viewcontent.cgi?referer=&httpsredir=1&article=1332&context=mulr>>

⁹⁴ *County of Milwaukee v LIRC*. 407 N.W.2d 908 (Wis. 1987).

⁹⁵ Police, Crime, Sentencing and Courts Act 2022 s193 (UK).

⁹⁶ Ministry of Justice, HM Prison and Probation Service, The Rt Hon Alex Chalk KC MP, and Mims Davies MP :'Thousands more ex-prisoners in work following major drive to boost employment' *Press release* 24 May 2023 at <<https://www.gov.uk/government/news/thousands-more-ex-prisoners-in-work-following-major-drive-to-boost-employment>> accessed 20 Dec 2023.

⁹⁷ EU Convention on Human Rights.

⁹⁸ *R (P) v Secretary of State for Justice, R (G) v Chief Constable of Surrey Police and R (W) v Comr of Police of the Metropolis* [2018] 1 WLR 3281.

rejected an approach of disclosure of convicts based on the 1997 UK Police Act - a scheme that was too broad and one which was open to arbitrariness.

In the matter of MM, the applicant had received some cautions which she were supposed to be deleted from criminal records after five years. That did not happen. This affected her application for two jobs. Hence, this petition to the ECtHR in which she argued that the law applicable to her Police records did not meet the standard of 'in accordance to the law' of article 8.2 of the ECHR. The ECtHR held that

206. [...] no distinction is made [in the law and regulations] on the basis of the nature of the offence, the disposal in the case, the time which has elapsed since the offence took place or the relevance of the data to the employment sought.

207. The cumulative effect of these shortcomings is that the court is not satisfied that there were, and are, sufficient safeguards in the system for retention and disclosure of criminal record data to ensure that data relating to the applicant's private life have not been, and will not be, disclosed in violation of her right to respect for her private life.

In the matter of T¹⁰⁰ which attacked the prevailing legislation before the 2013 amendment, the UK Supreme Court, in a leading Judgement by Lord Reid stated-

113. [...] Put shortly, legislation which requires the indiscriminate disclosure by the state of personal data which it has collected and stored does not contain adequate safeguards against arbitrary interferences with article 8 rights.

114. [...] In other words, in order for the interference to be 'in accordance with the law', there must be safeguards which have the effect of enabling the proportionality of the interference to be adequately examined. [...].

These attacks on the UK system of disclosure of convictions by both domestic courts and ECtHR precipitated changes to the 1997 Police Act. The amendments were done in 2013. This new set of laws were the subject of litigation in which the UK Supreme Court, in a majority decision rendered itself as follows (Lady Hale)-¹⁰¹

75. The scheme as it now stands [*the current laws relating to ex-convicts*] does not have that indiscriminate nature. It has been carefully devised with a view to balancing the important public interests involved. In my view there are at least three of these. There is, of course, the importance of enabling people who have committed offences, and suffered the consequences of doing so, to put their past behind them and lead happy, productive and law-abiding lives. The full account of the facts of the four cases before us, given by Lord Kerr, is ample illustration of

the importance of this aim, and of the devastating effect that disclosure of past offending can have upon it. There is, on the other hand, the importance of safeguarding children and vulnerable adults from people who might cause them harm, as well as ensuring the integrity of the practice of certain occupations and activities. [...]. There is also, in my view, a public interest in devising a scheme which is practicable and works well for the great majority of people seeking positions for which a criminal record certificate is required.

Looney & Turner speak of incentives that have been built in the tax system in the US to encourage employers to hire ex-convicts. Subsidies are provided for in the tax code such as the Work Opportunity Tax Credit (WOTC) and the Earned Income Tax Credit (EITC). These subsidies are supposed to fast track the (re-)entry of ex-convicts into employment.¹⁰² These incentives have been found to reduce recidivism among women where households with children get more than those without (maximum of over \$6,000 versus \$500).¹⁰³ It has also been observed that there is a relatively low uptake of WOTC by employers largely due to complex administrative processes involved. Even with such a good policy, the uptake lies at around 30% of those released from prison annually.¹⁰⁴

The South African Criminal laws allow for expungement of criminal records under certain conditions such as after expiry of 10 years and others.¹⁰⁵ The laws set out the procedure to be followed.

The Constitution of Kenya provides for the grounds of removal of a judicial officer to include 'gross misconduct or misbehavior'.¹⁰⁶ Such a ground must be proven on a standard above a balance of probability but below that required of criminal offences.¹⁰⁷ Ms Baraza was removed from the Judiciary for gross misconduct and misbehavior, which included threatening to shoot a security guard.¹⁰⁸ In the matter of *Mutava*,¹⁰⁹ the Tribunal found that he had caused certain cases to be allocated to him, he made a ruling in a matter that was not properly before his court and he attempted to influence decisions in matters before another Judge. These allegations were affirmed by the Supreme Court. The Judge was eventually removed from office. However, such a removal does not go with a prohibition against further and future employment. Neither does such a removal lead to 'exclusion' from the professional body. The removed Judges can be gainfully engaged in other

¹⁰² n 16.

¹⁰³ A Agan & M Makowsky . 'The Minimum Wage, EITC, and Criminal Recidivism'. Working Paper 2018 at <https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3097203> accessed 12 January 2024.

¹⁰⁴ n16.

¹⁰⁵ South African Criminal Procedure Act 51 of 1977 at ss 271A - E

¹⁰⁶ n51, art 168(1)

¹⁰⁷ *Joseph Mbalu Mutava v Tribunal appointed to Investigate the conduct of Justice Joseph Mbalu Mutava, Judge of the High Court of Kenya* [2019] eKLR (SCT)

¹⁰⁸ Report and Recommendation Into The Conduct of The Hon. Lady Justice Nancy Makokha Baraza [2012] Eklr.

¹⁰⁹ n107.

⁹⁹ *In re Gallagher's Application* [2016] NICA 42.

¹⁰⁰ n9.

¹⁰¹ n 27.

sectors of the economy - both public and private. Of course removal of a person from the Judiciary is not a comfortable thing for the individual and for the family and friends. However, the fact that it does not completely bar the concerned individual from gainful employment is an approach - we submit - that is worth extending to ex-convicts.

All in all, we resonate with the following words - ¹¹⁰

169. It is, thus, incumbent on those responsible for devising a scheme of disclosure to be aware that at least some employers will regard the existence of a criminal record as an automatic bar to choosing the candidate with the record. Where, therefore, it is abundantly obvious, as in many cases it will be, that the criminal record of an individual could have no conceivable relevance to the position for which he or she applies, a system in which disclosure is not made is not only feasible but essential.

V. CONCLUSION

For many decades and in many countries, employers have been reluctant to hire ex-convicts. Many governments keep records of ex-convicts for a very long time. Many states have laws in place that require employers to conduct 'background checks' on potential employees. Many convicts lose out on employment due to such records. In some countries, these records last forever. In other countries, a person can apply to have such information regarding their criminal record expunged after a statutory period. On the one hand, this action of using criminal records to bar ex-convicts from employment denies such persons an opportunity to earn a living, live a life free of crime, and to realize their human rights to the full. In a way, they are prevented from fully re-integrating into society. On the other hand, keeping ex-convicts out of employment is a recipe for recidivism and therefore aggravating the danger to the public. The exercise of 'locking' out ex-convicts from employment encourages such persons to commit 'economic' crimes as a way of survival. Many are apprehended and taken back to jail in what is termed 'recidivism'.

One of the purposes of punishment after conviction is to rehabilitate (enable such persons to fit back into society. Completion of a jail term, and therefore, release from prison must signify that the state has done everything possible to facilitate re-integration of the ex-convict back into society. In countries like Kenya, factors that negatively impact on rehabilitation of prisoners are well known. Such factors are ones the government can mitigate. It is the responsibility of the State to rehabilitate convicts. Once a sentence has been served - the debt to the public would have been paid.

Ex-convicts should not continue to endure punishment because of a state's failure to do what it should have done. Developments in Europe around 'the

right to be forgotten' coupled with data protection laws are worthy using to put a limit on how long a state agency can hold onto criminal records of ex-convicts and to what use such data should be put. Furthermore, employers need to be incentivised - probably through tax rebates - to hire ex-convicts and therefore keep them away from recidivating.

Kenya's constitution shows a determination to improve the welfare of all (preamble). Keeping ex-convicts out of employment violates their right to dignity and therefore all other rights. In the spirit of the preamble to the constitution, the government must walk the talk of 'nurturing and protecting the well-being of the individual, the family, communities and the nation' as well as 'recognizing the aspirations of all Kenyans for a government based on the essential values of human rights, equality, freedom, democracy, social justice and the rule of law'. The preamble to Kenya's constitution, the non-derogable rights of 'dignity' and 'prohibition against inhuman and degrading treatment', together with recent developments on the right to privacy which call for a 'right to be forgotten' would appear to point to the need for a newer approach to disclosure of criminal records with clear cut guidelines on their expungement. To this end, there is need for amendment of several laws touching on the penal system and for striking down - through judicial fiat - all laws that prevent ex-convicts from accessing employment. All in all, Kenya has an obligation to promote constitutionalism-and in this respect - by abolishing the use of criminal records to bar ex-convicts from employment.

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None of the authors has any conflict of interest.

¹¹⁰ n27 (Lord Kerr dissenting).



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The Decision-Making Process of Starting an Accounting Franchise Versus a New Brand and their Respective Performance in Light of the Causation and Effectuation Theories

By Araujo, Edna Torres & Andreassi, Tales

Synopsis- *The research problem:* This study investigates the decision-making process of accountant entrepreneurs as they embark on new ventures. It observes the approach taken – causation or effectuation – when selecting the type of enterprise and explores the relationship between the approach and the resulting company's performance. Therefore, the research question is as follows: How does the decision-making process differ when starting a new accounting franchise versus an independent firm, considering the perspectives of causation and effectuation? And what is the relationship between the chosen approach and the new company's performance?

Motivation or theoretical reasoning

The results provide crucial and practical insights for entrepreneurs who participated in the study and those who may be deciding between starting a franchise or an independent firm. The study enables entrepreneurs to adopt the causation and effectuation approaches, helping them assess their decision-making process and identify factors that impact the returns obtained from their choices when launching a new endeavor.

Keywords: decision-making process; causation; effectuation; accounting franchise; independent accounting company; performance.

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The research is justified by the need to test, develop, or adapt methodologies that allow the analysis of decision-making processes related to starting new businesses and identifying obstacles and advantages. Additionally, the study is relevant for its potential to support other academic projects and future research.

The hypotheses

H1: The causation decision-making approach is more likely to result in starting a franchise.

H2: The effectuation decision-making approach is more likely to result in starting an independent company.

H3: The causation approach has a mediating effect on the relationship between the type of venture created and its performance.

H4: The effectuation approach has a mediating effect on the relationship between the type of venture created and its performance.

H5: The types of ventures present different performance levels, with franchises showing higher performance compared to independent companies.

Target population

The research population comprises accounting firms considered legal entities by the Brazilian Federal Revenue Service, registered with the Brazilian Federal Accounting Council (CFC) in 2023 (CFC, 2023), and regular members of

the council's regional offices throughout the country. Information regarding the number of Brazilian accountant entrepreneurs was collected from the CFC database (CFC, 2023).

The research subjects were the managing owners of accounting enterprises. The sample counted 718 respondents, including 312 managers of accounting franchises and 406 managers of independent accounting firms.

Methodology

This study follows a descriptive-exploratory approach with a quantitative focus, utilizing a survey. The sampling method is non-probabilistic and intentional, covering all franchise and independent accounting enterprises listed in the CFC. A questionnaire adapted from Chandler et al. (2011), Brettel et al. (2012), Appelhoff et al. (2015), and Neely, Gregory, and Plattys (1995) was employed. Data interpretation was based on the hypotheses, and analysis was conducted using partial least squares structural equation modeling (PLS-SEM).

Analyses

The constructs causation, effectuation, and performance were second-order constructs in the PLS-SEM. This means they were not directly formed by their items but through latent variables (indicators). Also, the analysis adopted the two-stage approach, which uses the scores of the first-order constructs as items of the second-order constructs (Hair et al., 2021). Therefore, the scores of the first-order latent variables were calculated using factor analysis, and subsequently, the structural equation model was adjusted.

Findings

The results confirmed all five hypotheses. The analysis revealed that entrepreneurs typically opted for franchises after a causation decision-making process, while they chose to establish independent accounting firms after an effectuation decision-making process (H1 and H2, respectively). Furthermore, the findings related to company performance supported hypotheses H3 and H4, highlighting the mediating role of both the causation and effectuation approaches. Ventures initiated through causation logic demonstrated superior performance. Lastly, the performance comparison between accounting franchises and independent accounting firms confirmed that franchises exhibit higher performance (H5). Given the contemporary relevance of this research topic, these results have significant academic and practical implications, particularly emphasizing the superior performance of accounting franchises and their connection to the entrepreneur's decision-making process rooted in causation.

Keywords: decision-making process; causation; effectuation; accounting franchise; independent accounting company; performance.

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I. INTRODUCTION

In a dynamic and globalized market, both individuals and companies must be prepared to undertake substantial transformations and adaptations (Li, Su, Zhang & Mao, 2018). In this sense, governments have recognized entrepreneurship as an alternative for promoting economic and social development. The emphasis on entrepreneurship has grown significantly in recent years, significantly impacting the economic development of countries (Vuong et al., 2016; Wakkee, Veen, & Eurling, 2015; Dorobat & Topan, 2015; Audretsch, 2012).

Entrepreneurship refers to human professional efforts to transform productive and economic resources to generate profit. It involves creating new products or innovative techniques for goods and services (Peña-Ayala et al., 2020). Entrepreneurship serves as a source of profitability, driven by an entrepreneurial vision that recognizes the potential of a business – whether entirely new or improved – to address a social need, even in the face of uncertainties (Vinholis et al., 2016).

However, these studies have provided limited information regarding whether and how entrepreneurs can transition from survival to prosperity. This calls for further research into creating new opportunities through innovation and revenue-generating actions during crises (Kuckertz et al., 2020; Thorgren and Williams, 2020). Taking action to create and pursue opportunities lies at the core of entrepreneurship (Björklund et al., 2020).

Unpredictability during times of crisis presents a challenge to the imagination. Resilient organizations remain open to improvisation and reorganization, equipped with sufficient resources to withstand shocks and implement necessary changes (Mayberry et al., 2020). Along these lines, entrepreneurship literature explores various approaches to dealing with uncertainty scenarios (Olivé-Tomàs & Harmeling, 2019). As Kim and Mauborne (2014) described, some involve creating new markets. Another approach emphasizes the importance of planning and control in decision-making. Finally, the basic theories of causation and effectuation come into play. The causation perspective focuses on decisions based on prediction (Saravasthy, 2001; Jiang & Ruling, 2017), while effectuation refers to how entrepreneurs make decisions in an uncertain future (Fidelis et al., 2018).

Thus, globalization and technological advances intensify the competitive business environment, posing a significant challenge to companies' survival. Consequently, adaptation and the formulation of competitive strategies become imperative. These dynamics directly affect both franchises and independent firms within the accounting sector.

In this context, accounting organizations confront an environment of escalating competitiveness, compelling them to seek strategies that ensure survival

and continuity. It is possible to assert that the bedrock of the knowledge economy lies in the professional development of specialists who focus on innovative business structures through lifelong learning. Specifically, their transversal skills play a pivotal role, enabling these specialists to facilitate the transition of enterprises into innovative organizational forms in terms of productive activities (Tolochko, Bordiug, & Knysh, 2020).

In a rapidly changing world, where business is conducted globally and through electronic commerce, future accountants face increasing demands for developing a wide range of competencies (Howieson, 2003). This research focuses on the decision-making process of accounting entrepreneurs when deciding to start either an accounting franchise or an independent accounting firm, all within the context of causation and effectuation theories. The central research question guiding this study is as follows: How does the decision-making process differ when starting a new accounting franchise versus an independent firm, considering the perspectives of causation and effectuation? And what is the relationship between the chosen approach and the new company's performance?

Therefore, the general objective of this study is to analyze the decision-making process of entrepreneurs when starting an accounting franchise versus an independent firm, all within the context of causation and effectuation theories. The following specific objectives were outlined: (i) Compare the performance of accounting franchises versus independent firms. This analysis will consider the causation and effectuation approaches employed during the decision-making process when launching a new enterprise; (ii) Examine how the adoption of causation or effectuation approaches influences the decision for the type of venture – whether a franchise or an independent firm; (iii) Evaluate the mediating effect of using causation or effectuation approaches in decision-making. Specifically, explore how these approaches impact the relationship between the type of venture initiated and its subsequent performance; and (iv) Determine which type of venture – franchise or independent firm – demonstrates superior performance.

a) *Originality/relevance*

The originality of the research lies in reconciling the causation and effectuation theories with the accountant's entrepreneurship by understanding how this professional behaves in the decision-making process regarding starting an accounting franchise versus an independent firm, as well as observing the business performance. The study's differential is the adoption of a quantitative approach to the analysis of results, offering robustness in its findings.

The accountant entrepreneur can utilize this research to consolidate information that supports the



decision-making process when considering starting an accounting franchise or an independent firm. Furthermore, this study addresses a literature gap, explicitly focusing on the decision-making process related to starting an accounting franchise versus an independent accounting firm, considering the perspectives of causation and effectuation theories. Additionally, it explores the relationship between the chosen approach and the positive or negative results of the business.

The reflection in this article offers security in decision-making by providing reliable and relevant information. According to Matalamaki (2017), there is a lack of in-depth research, and it is still unclear how both causation and effectuation logics occur in the development of different types of companies, even with the growing interest in the effectuation theory in recent years. This research is justified due to the need to understand the relationship between these two types of ventures: the accounting franchise and the independent accounting firm. Additionally, exploring the causation and effectuation approaches employed in decision-making processes is crucial. Understanding how accounting professionals navigate and respond to the challenges of economic volatility through entrepreneurial behavior will contribute to academia and improve business practices, ultimately enhancing the way these professionals work.

The study's results offer crucial and practical insights for entrepreneurs who are the subject of the study, as well as for those who may face a similar situation when choosing between starting their own brand or investing in a franchise. Consequently, both accounting franchise and independent entrepreneurs can evaluate the best way to proceed using the causation and effectuation theories. By doing so, entrepreneurs can examine their own actions from the point of view of these theories and identify factors that impact the returns of their choices when launching a new endeavor.

This study also addresses the need to test, develop, or adapt methodologies for analyzing decision-making processes when starting a new venture, with a focus on identifying obstacles and advantages. Its significance lies in generating results that can be applied to other academic projects.

Given the contemporary nature of the topic addressed in this research, the results raise several academic and practical implications. First, this study uses causation theory and effectuation theory to analyze the factors present in the decision to start a new accounting venture that affect the performance of the company created (an accounting franchise or an independent firm). Secondly, the article is based on emerging research. It expands the discussion in the literature to the specific topic of creating accounting franchises and independent accounting firms and links

these approaches to the decision-making process and business performance. The research results complement previous studies, such as that by Murnieks et al. (2011), revealing that the causation and effectuation approaches to decision-making are important and influence business performance. As discussed later, the study observes that the creation of an accounting franchise is related to a causation logic, and this type of venture presents a superior performance.

The third implication aligns with the dimensions established by Appelhoff et al. (2015) and Neely, Gregory, and Plattys (1995). These dimensions allowed us to frame specific questions related to the causation and effectuation approaches in decision-making processes and issues related to measuring business performance. The results indicate a positive and significant association between undertaking accounting franchises and business performance, with a particular emphasis on the use of the causation perspective in the decision-making process.

The following section presents the theoretical framework, which offers elements to subsidize the formulation of the research hypotheses.

II. THEORETICAL FRAMEWORK

The theoretical framework is presented in three subsections addressing the causation and effectuation decision-making approaches; the issue of starting a new venture, be it an accounting franchise or an independent accounting firm; and the performance of an accounting franchise versus an independent company. The research hypotheses were formulated based on the discussions in this section.

a) Causation and effectuation decision-making approaches

The decision-making process and the debate about the theories involved in this process refer to the discussion of rationality, which can be interpreted in various ways, depending on the context. One of the first scholars who focused on this study in the 1950s was Simon (1979). The author proposed the concept of limited rationality, observing that people have limited abilities to evaluate all possible alternatives to a decision, as well as their uncertain consequences.

Decision-making is defined by Bass et al. (1983) as an orderly process that begins when the decision-maker discovers that there is a discrepancy between the current state of a given subject and where it should be. For Kuckerstz (2011), decision-making is a key element in the study of entrepreneurship. In addition, enterprises have created a way to remain aware of their environment with serial decision-making, where decisions of the past influence present choices that prepare the context for selecting future options (Abzug, 2017). This fact contrasts with new ventures that



carry out their operations in a context of uncertainty and a constant lack of information (Saloua, Hafida, & Maryam, 2023).

Droj and Droj (2015) point out that for investment projects developed by private companies, decision-making is considered one of the biggest challenges the company's top managers and shareholders face. This complex process involves identifying, evaluating and selecting the best investment opportunities. Otherwise, the decision to enter into an entrepreneurial activity is linked to a "costs versus benefits" type relationship, in which the costs of such a decision are considerably smaller in the early stages of a career (Merida & Rocha, 2021).

Citroen (2009, 2011) and Frishammar (2003) discuss whether organizations have the knowledge to find robust data and information to continue attributing relevance to different types of decisions. The authors stress that crucial decisions do not happen daily. This means that organizations may be unprepared in exceptional circumstances, lacking technological resources or prior experience necessary to support decisions made in these exceptional conditions. Parra et al. (2023) emphasize the need to closely monitor all business processes and use distributed analytics to gain superior performance. The authors also highlight that more companies will migrate to a service-oriented business model, where technology will serve decision-makers at the strategic level. At this point, managers will heavily rely on artificial intelligence and analytics teams to enhance human judgment.

In this context, initial considerations are presented regarding the general structure of the causation decision-making approach, as Saravasthy (2001) outlined. Within this approach, entrepreneurs have a clear objective or a specific decision to make.

The future is an extension of the past, allowing for predictability (Read and Saravasthy, 2005). Entrepreneurs engage in analysis and activities as they leverage available resources and knowledge (Chandler et al., 2011). The decision-making process must be well-structured and resolved formally, with attention to detail, consistency, and transparency. The ultimate goal is to drive organizational performance from the current state toward a preferable equilibrium (Zivdar et al., 2017). Welter and Kim (2018) emphasize that the theoretical foundations of the causation approach in decision-making rest on predictable aspects of an uncertain future. In other words, planning before execution enhances human action in the face of uncertainty.

The causation approach applies to decision-making, as this logic assists entrepreneurs in making informed choices. The strategies proposed by this theory are particularly useful when the future is predictable, objectives are clear, and the environment remains independent of their actions (Jiang & Ruqing, 2017).

The effectuation approach, in turn, emerges from Sarasvathy's (2001) discussion on causation. Olivé-Tomás and Harmeling (2019) highlight several approaches for dealing with uncertainty within the entrepreneurship literature. These approaches include strategies related to creating new markets (Kim & Mauborne, 2014), emphasizing planning and decision-making control (causation), and adopting an effectuation logic that emphasizes affordable loss. The causation and effectuation approaches in entrepreneurs' decision-making within contexts of uncertainty are described based on the contributions of each approach (Sarasvathy, 2001).

Thus, the entrepreneur identifies and seizes the means available to envision, design and implement future plans (Dew, 2003; Sarasvathy, 2001).

According to Saravasthy (2001), effectuation stands in contrast to causation. Unlike the latter, the effectuation approach to decision-making, developed by Sarasvathy (2001), provides an alternative to the deterministic paradigm of causal rationality. This paradigm has been questioned because it does not always present the best path for starting a new venture (Tasic & Andreassi, 2008). In effectuation logic, entrepreneurs navigate the unpredictable future by exploring contingencies rather than trying to accumulate knowledge to predict uncertainties. They commit to focusing first on controllable aspects. The choices they make are defined by the means they possess and their imagination (Galkina & Lundgren-Henriksson, 2017).

This decision-making process begins with evaluating resources and then establishing goals. These goals are not considered mandatory endpoints but are faced as possibilities. They emerge from the assumptions and aspirations of the founders and the people with whom they interact (Sarasvathy, 2001; Read & Saravasthy, 2005).

The effectuation process enables the realization of various effects, even if only one or a few ideas are actually implemented. Entrepreneurs can change their goals, adapt them, and even build many over time, taking advantage of countless contingencies that arise along the way (Tasic & Andreassi, 2008). Therefore, the effectuation approach can be understood as an alternative decision-making logic in moments of uncertainty (Perry et al., 2012). In the evolution of this theory, Sarasvathy (2001; 2003; 2008; 2009) posits that entrepreneurs operating within this logic view the world as an ongoing project where they can exert influence. Opportunities, companies, and markets are not fixed; they are achievements (Sarasvathy & Dew, 2005). The effectuation theory can be seen as a dynamic process that clarifies entrepreneurial action by leveraging available resources to start new ventures in an uncertain environment (Scaziotta et al., 2020). Entrepreneurs adopting the effectuation logic can decide which path to follow, recognizing that they actively shape these paths

(Murdock & Varnes, 2018). The effectuation logic is suitable for understanding the creation and decision-making processes across all types of enterprises (Sarasvathy, 2008).

Along these lines, the study by Chandler et al. (2011) highlights this theory of entrepreneurial decision-making. They develop and validate measures of the causation and effectuation approaches for creating new ventures. Causation is a well-defined and coherent unidimensional construction, while effectuation is a formative and multidimensional construct with three associated subdimensions (experimentation, affordable loss, and flexibility), along with a dimension shared with the Causation construct (pre-commitments). The research brought contributions, as described by Sarasvathy (2001), proving that causation is negatively associated with uncertainty, while experimentation – a sub-dimension of effectuation – is positively correlated with uncertainty. Chandler et al. (2011) contributed to the literature by offering validated scales that enable the measurement of causation and effectuation.

Another study conducted by Brettel et al. (2012) highlighted the characteristics of the effectuation approach in the context of R&D projects. They differentiated it from conventional strategies based on prediction (causation) and developed a complete process to create a qualitative and quantitative scale. This scale captures the particularities of effectuation and causation dimensions in the R&D context. The study extends the application of effectuation logic from R&D to the corporate context, capturing its unique features and investigating its performance results.

Appelhoff et al. (2015) proposed exploring the extent to which an entrepreneur's causation or effectuation decision-making approaches increase the perception of task conflict in the relationship with the investor. The authors found support for some of their hypotheses regarding causation decision-making and observed surprising results for the effectuation decision-making approach. The study used a questionnaire adapted from Brettel et al. (2012) and combined insights from entrepreneurship, effectuation logic, and conflict theory. It deepened the understanding of intergroup processes concerning effectuation and causation behavior. These theories allow for a detailed study of entrepreneurial decision-making as a potential driver of investor-entrepreneur conflict, highlighting a set of personal principles entrepreneurs use when starting and scaling up their ventures.

The research by Appelhoff et al. (2015) contributed to the literature on the business decision-making process based on causation and effectuation theories. While some studies treat preferences for effectuation and causation logics as opposites on the same continuum (e.g., Brettel et al., 2012), others assert that the dimensions of both logics are independent of

each other (e.g., Chandler et al., 2011). The authors, therefore, contribute to this discussion by employing measurement scales, which allow for insights into the distinction between decision-making styles.

Subsequent studies evolved toward a conception that both logics are not mutually exclusive and can occur alternatively or simultaneously, presenting variations depending on the context or choices of the entrepreneurs themselves (Harms & Holger, 2012). When associated, the theories are used simultaneously, each in a specific context. Furthermore, they are complementary rather than competing with each other (Guo & Zhang, 2019; Grégoire & Cherchem, 2020). Thus, there is no single decision-making model but different “shades of gray,” and decisions are made using both logics simultaneously (Da Rocha et al., 2017, p.19).

The following subsection discusses the issue of starting a new venture, considering the choices of starting an accounting franchise or an independent accounting firm. The discussion takes into account the causation and effectuation approaches examined above, which inform the formulation of the research hypotheses.

b) Starting a new venture: accounting franchises and independent accounting firms

Entrepreneurship by private actors plays a crucial role in the global economy and serves as the primary driver of growth in most countries. Regardless of size, businesses can take various forms, such as sole proprietorship, partnership, or corporation. In general terms, the distinctions between these organizational forms are related to their legal status (Bar-Yosef, D'Augusta, & Prencipe, 2019). The quality of corporate governance influences the decision-making process of accounting and business ventures and significantly impacts company performance (Bar-Yosef, D'Augusta, & Prencipe, 2019).

An entrepreneur is an individual who possesses the initiative and skills to organize and reorganize social and economic resources to gain practical advantages and is capable of accepting risk or failure when establishing new businesses (Hisrich et al., 2014). The entrepreneur is an innovative and creative person who explores the environment in search of new opportunities and exploits them after proper assessment. These opportunities involve creating new businesses, a central topic in business debates. Creating new enterprises entails planning, organizing, and building a new organization (Gartner, 1985).

Emerging technologies have compelled accounting professionals to prepare for numerous forthcoming changes, which could be disruptive but also offer many opportunities in the field (Demirkan, Demirkan, & McKee, 2020). Overall, the primary concern of professionals is how careers in accounting will adapt



and how the required skills will evolve (Kroon, Alves, & Martins, 2021).

The relationship between entrepreneurship and accounting begins with entrepreneurs utilizing accounting services. According to Sabra et al. (2018), entrepreneurs possess distinguishing characteristics such as creativity, determination, and initiative. However, they often face difficulties in managing their businesses, requiring different skills. Economic globalization has presented many challenges to small and medium-sized enterprises (SMEs) due to the rapid intensification of competition, reflected in the relatively high rate of SME closures in the first years after their creation. Therefore, although SMEs play a crucial role in economic development worldwide (Naradda et al., 2020), they must focus on adopting survival strategies and approaches to navigate current challenges. Thus, the enhancement of these companies' performance depends on a structured and formal decision-making process that is organized in detail, consistently, and transparently (Zivdar et al., 2017).

The Brazilian Federal Accounting Council (CFC), through Resolution 560/83, highlights that accounting professionals are entitled to carry out various activities. When exercising their profession, accountants may hold positions as employees, self-employed or independent professionals, or entrepreneurs. Therefore, professionals who want to open their own accounting office must understand the rules and procedures necessary to establish a legal and profitable entity. An entrepreneurial accountant is characterized as an individual who owns an accounting office and offers high-quality services to clients or assists companies in decision-making and market expansion.

According to Appelbaum et al. (2017), the management accountants' responsibility is evolving. The nature of such responsibility has shifted from reporting aggregated historical value to encompassing the assessment of organizational performance and providing managers with relevant data for informed decision-making processes. As business competition has increased exponentially with technological development, the scope of management accounting has seen a systematic shift from historical cost reporting to more real-time and predictive reporting (Cokins, 2013).

From the perspective of accounting professionals, Dahlia and Aman (2018) highlight that changes in accountants' roles may occur as they adapt to new technology and automate tasks. For the authors, the most significant impact of implementing such innovations is the improvement of work efficiency, which means reducing repetitive routines and enhancing the accuracy of financial statements and management analysis. These changes tend to increase motivation in learning and improving IT skills, as well as boost competition. Notably, as new accounting techniques

emerge, companies make more rational decisions aiming for long-term results.

In this context, entrepreneurs seeking a business strategy already consolidated in the market might consider starting a franchise, as the profitability and trust expected by the franchisee are the most important antecedents. Furthermore, non-economic motivations for running a franchise influence decisions to leverage alternative opportunities and diminish the importance of switching costs (Croonen & Brand, 2015).

Franchising is a business system that allows the franchisor to transfer the system's know-how and intellectual property in exchange for royalties (Alon, 2005). Known as business format franchising and product franchising, it has a long global history, dating back to the 19th century. Franchising has been an effective strategy for replicating successful concepts in the commercial world for over 80 years (Ziółkowska, 2016). Therefore, franchising is an excellent entrepreneurial alternative for starting out. Franchises are safer for investors, as they offer already tested business models, often in different regions and with varying economic activity characteristics.

While franchising is an important form of entrepreneurship, literature explaining the strategy and performance of this type of business is scarce, with little research examining the performance of franchisees. Knowledge sharing, trust, conflict management, and brand reputation are key factors in reinforcing franchisees' intention to remain and achieve financial performance within the franchise system (Wu, 2015).

In developed countries, franchising represents a large proportion of the number of companies and jobs created. Alon (2014) and Baena (2012) highlight that franchising is a tool for economic development and global integration in emerging and transition markets. In Brazil, the influence of franchising can also be felt in the domestic economy. For instance, the franchising sector directly employed 1.5 million people in 2022, according to data from the Brazilian Franchising Association (ABF, 2022).

Generally speaking, franchisors want their franchisees to succeed, and most franchisors work diligently to provide them with the tools and guidance they need. Franchisees are independent entrepreneurs who make a variety of business decisions that ultimately determine the success or failure of their businesses (Hanafiah et al., 2023).

When comparing franchising with other types of businesses, it can be said that starting a franchise is less risky than starting your own business because franchisees benefit from the franchisor's brand recognition and experience. This also increases the chances of success for young franchisees as they strictly follow the franchisor's instructions. In return, franchisees provide the franchise system with financial capital, geographic and labor market knowledge, and

workforce management (Alon et al., 2020). Franchisees are encouraged to focus on their uniqueness and develop a strong business model to sustain the investment. Thus, a franchise is an organizational planning model that defines the path to success (Davis & DeWitt, 2021; Bretas & Alon, 2020).

Hypothesis 1 was developed based on the literature review of causation and effectuation in decision-making processes. It considers the options analyzed in this research, specifically the choice between starting an accounting franchise and establishing an independent accounting firm. The study will subject the hypothesis to empirical non-parametric tests to identify the relationship between decision-making using the causation approach and the decision to start a new accounting franchise. Hypothesis 1 is:

H1: The causation decision-making approach is more likely to result in starting a franchise.

The decision-making process using the effectuation approach is expected to more frequently result in the choice to start an independent venture company. Hypothesis 2 was formulated based on this reasoning:

H2: The effectuation decision-making approach is more likely to result in starting an independent company.

The hypotheses H3 and H4 refer to the types of ventures and their performance. They will be discussed in the following subsection.

c) Performance of the accounting franchises and independent accounting firms

The traditional view of performance measurement has three broad purposes: to ensure the achievement of goals and objectives; assess, control, and improve procedures and processes; and compare and evaluate the performance of different organizations, teams and individuals (Teague & Eilon, 1973). Neely, Gregory, and Plattys (2005, p. 80) point out that the issue of performance measurement is often discussed but rarely conceptualized. The authors establish a link between “measurement” and “quantification” and “action” and “performance,” considering performance measurement as the process of quantifying action.

In this context, franchising is a key business growth strategy and an essential element of business development. It involves two different types of entrepreneurs: franchisors, who identify opportunities and distribute them across several geographically dispersed locations, and franchisees, who explore local opportunities. Therefore, franchise management capabilities are an important new theoretical construct linking the franchise to the franchisor’s performance (William, Gillis, & Xiaoli, 2020).

However, few studies have investigated the relationship between non-financial indicators and financial performance. Another study measured the performance of franchised units of a single brand by

one-year sales level (Brand et al., 2017). According to the authors, there are several advantages when considering the result of sales, given that franchisors’ fees are generally based on sales. Structural, resource, and relational factors between franchisor-franchisee affect performance, with different benefits and harms for franchises with different performances (low, medium, and high). The unique aspect of this study is the inclusion of franchise performance as a contingency variable.

Franchising is an important form of entrepreneurship, but there is a lack of literature elucidating the strategic and performance issues that occur in franchising. Thus, factors such as knowledge sharing, trust, conflict management, and brand reputation are key factors that increase the willingness of franchisees to remain in the franchise system, given the occurrence of financial performance (Wu, Chih-Wen, 2015). In this way, franchise branches can serve as a reference for franchised units in terms of management and are a more guaranteed means of achieving expected performance (Scott Jr. & Churchward, 1995).

The development and expansion of franchises demand the need for control from franchisees, which occurs through performance evaluation. This activity seeks to improve the business and requires control to assist in its evolution and achievement of goals (Lavieri et al., 2016). Therefore, performance evaluation is one of the instruments that help promote business, and its different models were created to assist in the organization’s managerial administration.

Given the scenario of failure of some companies, entrepreneurs are not recommended to invest their capital in something unsafe; that is, many people look for an investment that offers little risk with the possibility of success. Along these lines, entrepreneurship is a task that requires dedication and knowledge of the field in which it operates, but risks can be minimized as the business model already exists on the market and has already been tested, as occurs in the franchise sector. Therefore, the business model represented by franchises can present greater financial performance than conventional companies (Madanoglu et al., 2011).

The franchise business model is widely and increasingly used by entrepreneurs seeking growth through geographic expansion. Franchising is an economically important form of entrepreneurship (Scott, Venkatesh, and Ashwin, 2006). Business franchise models are found in a variety of industries, from the Internet to banking. Still, they are most common in food and beverage establishments, business services, and retail (Lafontaine, 1992; Shane, 1996).

From this perspective, the difference in performance between franchises and conventional companies lies in the franchisor market orientation, which indicates that the franchisee’s operating

strategies are based on differentiation or cost, which directly intervenes in financial and non-financial performance (Lee et al., 2015). Thus, it is possible to say that franchise performance is a reflection of market orientation. Therefore, when considering investing in a project or business, it is necessary to verify that management can delay, expand, reduce, abandon or change projects at different stages of the operational life cycle. Trigeorgis (1993) argues that management must adjust and be flexible to cope with changing market conditions. For the author, this flexibility expands investment opportunities, increases the possibility of growth, and limits losses".

In this scenario, performance serves as a thermometer that measures an organization's ability to uphold its values and produce with its available resources (Tchouaket et al., 2012). At this point, management control must seek performance evaluations that will aid in defining and implementing strategies, leading to improvements in organizational performance (Malagueño et al., 2018). According to Nerreklit (2008), a performance evaluation system enables organizational control, measurement, and planning. For Abed Alfetah et al. (2018), performance measurement and evaluation processes represent a step in the organization's regulatory system, a process made challenging yet facilitated by the precision of performance measures. The authors reinforce that measurement criteria must be clear and precise in order to obtain faster and facilitated assessments. Measuring performance involves recognizing performance levels based on predetermined standards and indicators. The practice has shown that there are both acceptable and unacceptable deviations in many cases, which require study to identify and address them.

Thus, the presence of information and communication systems within an organization simplifies the work to be carried out (Abed Alfetah et al., 2018). Harbor (1997) posits that a performance measure quantifies an entity's actions, serving as a parameter of efficiency or effectiveness in decision-making. Conversely, Theodore et al. (2017) emphasize that the absence of a performance measurement system negatively impacts an organization's overall performance and affects human behavior, given that human nature is constantly seeking parameters to validate behaviors.

It is generally believed that performance evaluation models developed for large organizations can be applied to small and medium-sized enterprises (SMEs) with little or no modifications. This belief stems from the assumption that models developed specifically for large, complex organizations must be robust enough to handle the complexity of smaller organizations. However, while SMEs share some similarities with large organizations, they differ significantly (McAdam & Kelly, 2002).

Neely and Bourne (2000) report that performance measurement initiatives often fail due to poor design and implementation difficulties. The performance measures selected in this study include innovation, competitiveness, creativity, effectiveness, productivity, efficiency, and profitability (Sink & Tuttle, 1989; Rolstadas, 1998). As these measures are based on people's perceptions within the organization, they can be considered lagging indicators that depict the final result of an action, typically well after its completion. Productivity measures are often complex; hence, at the organizational level, a comprehensive multifactor productivity measure is sufficient to provide information about the organization's long-term health (Baines, 1997).

Efficiency is inherent in any activity but is challenging to measure (O'Donnel & Duffy, 2002). Profitability is calculated through subjective measures (Panayides, 2006).

Therefore, these studies highlight the need for further research exploring the interaction among the constructs. The empirical results presented in the literature suggest a performance evaluation system in five dimensions: a) sales, b) profit, c) number of clients, d) client satisfaction, and e) delivery of services/products within the established deadlines (Neely, Gregory, and Platts, 1995).

Sarasvathy (2001) states that the anatomy of a decision using the causation approach involves a) A goal to pursue or a decision to be made, usually specific and well-structured. B) A set of alternative means or causes that can emerge from the decision process. C) Constraints on potential means, usually imposed by the environment. D) Criteria for selecting the means (a traditional criterion is the maximization of expected returns). Furthermore, causation logic can have different effects on performance, depending on the level of the venture's technological intensity (Kristinsson et al., 2016). Entrepreneurs whose behavior exhibits characteristics of causation logic tend to achieve higher performance because they plan more. Planning allows the entrepreneur to seek out key resources, knowledge, and partnerships in advance, contributing to superior business performance. Therefore, causation behavior is expected to positively affect the entrepreneur's income.

Thus, Hypothesis 3 emerges from this theoretical perspective:

H3: The causation approach has a mediating effect on the relationship between the type of venture created and its performance.

The recent COVID-19 pandemic impacted businesses, including accounting ventures. The unpredicted circumstances led to widespread efforts to redesign business models to maintain financial sustainability. This event emphasizes the elements of the effectuation theory, which leads to Hypothesis 4

regarding a mediating effect in the relationship between the type of accounting venture and performance.

H4: The effectuation approach has a mediating effect on the relationship between the type of venture created and its performance.

Therefore, it is reasonable to assume that the types of ventures initiated as a result of decision-making processes rooted in causation or effectuation exhibit different performance levels. Franchises, which typically emerge from processes aligned with the causation approach, demonstrate superior performance. Based on this, Hypothesis 5 can be stated as follows:

H5: The types of ventures present different performance levels, with franchises sowing higher performance compared to independent companies.

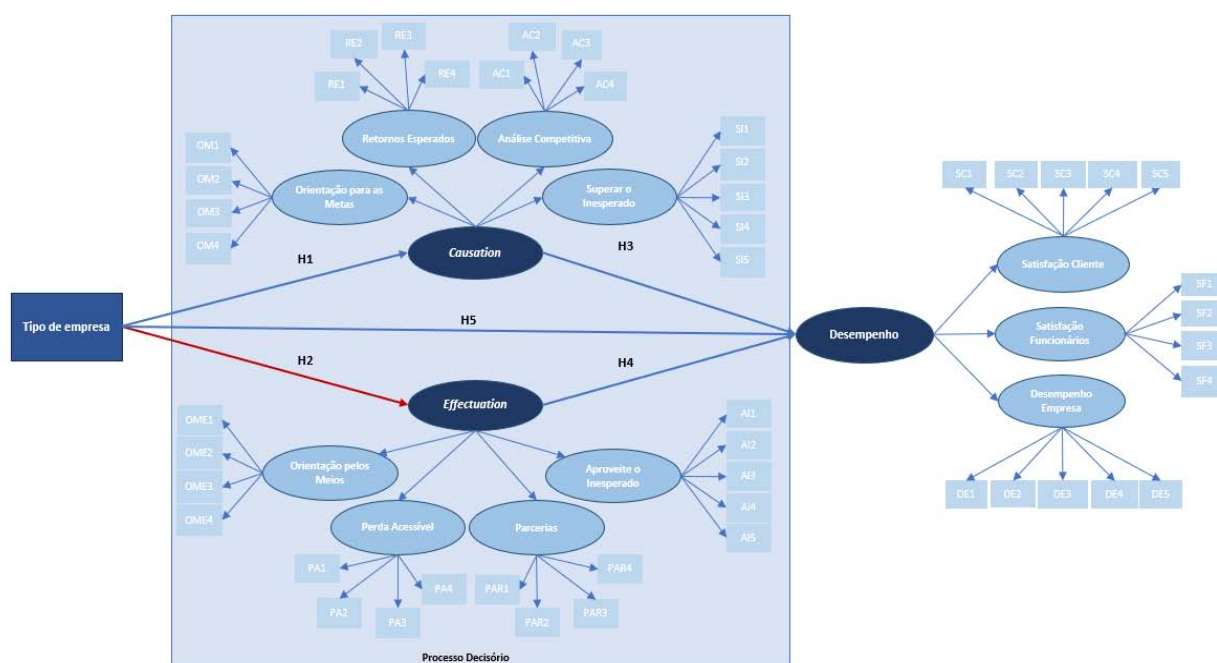
The section below presents the methodological procedures adopted to test the hypotheses that emerged from the theoretical discussion.

III. METHODOLOGY

a) Hypotheses

Quantitative research often involves testing hypotheses (Morgan, 2015), and the themes addressed extend beyond purely descriptive or categorical aspects (Morse, 2008). From a quantitative perspective, purely descriptive themes closely relate to isolated variables, specifying measurable content (Morgan, 2015).

Figure 1 illustrates the hypotheses of this study, offering the complete theoretical model to be tested. The hypotheses were tested by adjusting the model based on inputs obtained in the literature.



Source: Research data

Figure 1: Theoretical model

Research Hypotheses

H1: The causation decision-making approach is more likely to result in starting a franchise.

H2: The effectuation decision-making approach is more likely to result in starting an independent company.

H3: The causation approach has a mediating effect on the relationship between the type of venture created and its performance.

H4: The effectuation approach has a mediating effect on the relationship between the type of venture created and its performance.

H5: The types of ventures present different performance levels, with franchises sowing higher performance compared to independent companies.

b) Research design

i. Pre-test

The pre-test was conducted in February 2023. Managers and owners of six accounting companies – three franchises and three independent firms – participated in responding to the instrument. The goal was to identify any distortions in understanding the adapted questions and to exclude the possibility of alternative interpretations during the survey.

The suitability of individual scale items was assessed for subsequent analysis during the pre-test. This evaluation considered their apparent validity, wording concerns, and other relevant aspects (Howard, 2019). Based on feedback from participating managers, questions that were difficult to understand or had

ambiguous interpretations were reformulated. The definitive questionnaire was then administered between May and July 2023.

ii. *Population, sample, and survey*

The research population consisted of accounting businesses – both franchises and independent firms – considered legal entities by the Brazilian Federal Revenue Service, registered with the Brazilian Federal Accounting Council (CFC) in 2023 (CFC, 2023), and regular members of the council's regional offices located throughout the country. The number of Brazilian accountant entrepreneurs was collected from the CFC database (CFC, 2023).

Data collection occurred online between April and July 2023, utilizing the CFC database. The questionnaire was accessible via the academic research webpage managed by the CFC. Managers and owners of the companies were invited to participate via email sent by the Union of Accounting Offices of Pará (SESCON), as well as through social media platforms such as WhatsApp. The franchises were initially identified through a Google search, followed by direct contact with the franchisors. The franchisors were asked to forward the questionnaire link to their franchisees.

The research subjects were the managing owners of the accounting enterprises. The sample consisted of 718 respondents: 312 managing owners of accounting franchises and 406 managing owners of independent accounting firms. The sample size was considered adequate when considering the methodology proposed by Kock and Hadaya (2018). Because the study conducted a multigroup analysis, the sample should have at least 155 respondents for each group, which was achieved (the group of independent companies had 406 respondents, and the group of accounting franchises had 312).

The questionnaire was structured, standardized, and adapted considering three dimensions: Decision-making process with a causation logic, decision-making process with an effectuation logic (adapted from Appelhoff, Mauer, Collewart, & Brettel, 2015), performance (adapted from Neely, Gregory, & Plattys, 1995). The responses were collected online using the Google Forms tool embedded in the CFC website. The Google form allowed for the automation of invitations to fill out the questionnaires, as well as data collection and tabulation.

The questions/items were adapted to address this research's objectives and capture the views and perceptions of the owners/managers of accounting enterprises. Respondents used a 7-point Likert agreement scale (ranging from 1: completely disagree to 7: completely agree). The items were clustered based on the characteristics of the enterprise and its leading manager.

IV. DATA ANALYSIS AND DISCUSSION

The data set comprised 61 variables, of which 13 were intended to characterize the subjects, while the remaining 48 were associated with 11 first-order constructs (goal-oriented, expected returns, competitive analysis, overcoming unexpected events, orientation by means, affordable loss, partnerships, make the most of unexpected opportunities, client satisfaction, employee satisfaction, and company performance). Additionally, there were 3 second-order constructs (causation, effectuation, and performance). The research counted 718 respondents, of which 406 were managing owners of independent accounting companies, and 313 were managing owners of accounting franchises.

The data was analyzed using partial least squares structural equation modeling (PLS-SEM). As mentioned before, causation, effectuation, and performance were second-order constructs, meaning they were not directly formed by their items but rather through latent variables (indicators). The Two-Stage approach was adopted to deal with this characteristic of the measurement structure. This approach uses the scores of the first-order constructs as items of the second-order construct (Hair et al., 2021). Therefore, first, the scores of the first-order latent variables were calculated using factor analysis, and subsequently, the structural equation model was adjusted.

The analysis addressed reliability, dimensionality, and convergent validity to assess the quality and validity of the first-order constructs. In the assessment of the constructs' reliability, two metrics widely recognized in the literature were applied: Cronbach's alpha (CA) and composite reliability (CR), as proposed by Chin et al. (1998). As highlighted by Tenenhaus et al. (2005), both CA and CR must present values above 0.70 to indicate satisfactory reliability of the construct. For Hair et al. (2021), a threshold of 0.60 is acceptable in exploratory research.

The dimensionality of the constructs was assessed using Kaiser's criterion (1958). This criterion determines the number of factors to be maintained in the exploratory factor analysis, which, in turn, indicates the number of dimensions of the construct. In assessing convergent validity, the average variance extracted (AVE) criterion was applied, as proposed by Fornell and Larcker (1981). AVE represents the average proportion of shared variance between the latent construct and its items. Henseler et al. (2009) recommend AVE values greater than 50% to ensure convergent validity. According to Nunnally et al. (1994), values greater than 40% are acceptable in exploratory research.

When using the factorial solution, evaluating its adequacy to the research data is essential. For this purpose, the Kaiser-Meyer-Olkin (KMO) sample adequacy measure was used. The measure indicates the proportion of variance shared between the variables

and ranges from 0.0 to 1.0. The closer the KMO value is to 1.0 (unit), the more appropriate the sample will be for applying exploratory factor analysis. In general, it is adequate to conduct exploratory factor analysis when the KMO value exceeds 0.50.

To verify the validity of the measurement model, which evaluates the ability of the indicators of each construct to represent their respective concept accurately, reliability, dimensionality, and convergent validity were evaluated again, in addition to discriminant validity.

The Bootstrap method also played an important role in calculating the confidence intervals of the measurement model weights and the structural model coefficients. Thus, it was possible to assess the variability of the estimated parameters, thereby validating the stability of the results obtained (Hair et al., 2021).

The structural model's adjustment quality was evaluated using the R² coefficient and goodness of fit (GoF) statistics, as proposed by Tenenhaus et al. (2004). Path modeling was used to verify the mediating role of the causation and effectuation approach in the relationship between the type of venture resulting from the decision-making process and the performance of the created enterprise, based on the methodology proposed by Baron and Kenny (1986).

Spearman correlation was used to compare the indicators extracted from the model with the ordinal variables, whereas the Mann-Whitney and Kruskal-Wallis

tests were used to compare indicators with categorical variables (Hollander, Wolfe, & Chicken, 2013). Multiple comparisons of the Kruskal-Wallis test were made using the Mann-Whitney test with Holm correction (Holm, 1979). The analyses were performed in R, version 4.3.1 (R Core Team, 2023).

a) *Descriptive Analysis*

i. *Characterization Variables*

Table 1 presents a descriptive analysis of the respondent's characterization variables:

- 35.10% of respondents were between 35 and 40 years old. Regarding gender, 50.28% were female, and 38.30% were male. Furthermore, 53.48% were married, and 95.26% had higher education.
- 98.75% of all respondents stated they were entrepreneurs, and 56.55% of all respondents stated they started their independent firm. Among the 98.75% who identified as entrepreneurs, 57.24% were sole owners.
- 13.37% of respondents were from the Brazilian state of Pará, and 38.86% had 6 to 10 years of experience in accounting.
- 67.55% of respondents had 1 to 5 employees, and 51.53% had an average investment of BRL 31,000.00 to BRL 40,000.00. Furthermore, 84.76% stated they had only one company, and 50.14% had a gross monthly revenue of BRL 41,000.00 to BRL 50,000.00.

Table 1: Descriptive analysis of characterization variables

Variable	Category	N	%	
Age	25 to 34 years	15	22.14	
		9		
	35 to 44 years	25	35.10	
		2		
	45 to 54 years	15	21.31	
	3			
Over 54 years		15	21.45	
		4		
	Sex	Female	36	50.28
			1	
Male		27	38.30	
	5			
	I prefer not to respond	82	11.42	
Education	High school	2	0.28	
	Higher education	68	95.26	
		4		
	Master	30	4.18	
	PhD	2	0.28	
Marital state	Single	19	26.74	
		2		
	Married	38	53.48	
		4		
	Separated/Divorced	13	18.94	
		6		
Widowed	6	0.84		
Employment relationship	Self-employed	1	0.14	

	Entrepreneur	709	98.75
	Full-time work	8	1.11
Participation in the company	Partner	307	42.76
	Sole owner	411	57.24
Type of venture	Franchise	312	43.45
	Independent firm	406	56.55
State	AC	14	1.95
	AL	14	1.95
	AM	41	5.71
	AP	5	0.70
	BA	40	5.57
	CE	39	5.43
	DF	20	2.79
	ES	23	3.20
	GO	27	3.76
	MA	28	3.90
	MG	28	3.90
	MS	3	0.42
	MT	4	0.56
	PA	96	13.37
	PB	7	0.97
	PE	32	4.46
	PI	21	2.92
	PR	32	4.46
	RJ	48	6.69
	RN	18	2.51
RO	9	1.25	
RR	16	2.23	
RS	30	4.18	
SC	26	3.62	
SE	18	2.51	
SP	62	8.64	
TO	17	2.37	
Experience - Accounting	1 to 5 years	61	8.50
	6 to 10 years	279	38.86
	11 to 15 years	18	2.51
	15 to 20 years	126	17.55
	Over 21 years	234	32.59
Number of employees	1 to 5	485	67.55
	6 to 10	181	25.21
	11 to 15	34	4.74
	15 to 20	18	2.51
Average Investment	BRL 10,000.00 to BRL 20,000.00	18	2.51
	BRL 21,000.00 to BRL 30,000.00	153	21.31
	BRL 31,000.00 to BRL 40,000.00	370	51.53



	BRL 41,000.00 to BRL 50,000.00	14 3	19.92
	Over BRL 50,000.00	34	4.74
Number of companies owned	1 company	60 6	84.76
	2 to 5	97	13.57
	6 to 10	8	1.12
	Over 15	4	0.56
Gross monthly revenue	BRL 10,000.00 to BRL 20,000.00	8	1.11
	BRL 21,000.00 to BRL 30,000.00	1	0.14
	BRL 31,000.00 to BRL 40,000.00	11 2	15.60
	BRL 41,000.00 to BRL 50,000.00	36 0	50.14
	Over BRL 50,000.00	23 7	33.01

ii. *Construct Variables*

Table 2 presents a descriptive analysis of the construct variables. Therefore, it can be highlighted that:

- In the constructs goal-oriented, expected returns, competitive analysis, overcoming unexpected events, orientation by means, partnerships, make the most of unexpected opportunities, client satisfaction, employee satisfaction, and company performance, individuals tended to agree with all items.
- In the construct affordable loss, individuals neither agree nor disagree with items AL3 (“We carefully considered the potential risk for the creation of the company”) and AL4 (“Investment decisions were based mainly on potential risks of losses”) and disagree with items AL1 (“Considerations about potential losses were decisive for the company”) and AL2 (“The selection of options for our company was based mainly on minimizing risks and costs”).

Table 2: Descriptive analysis of the construct variables.

Constructs		Items	Average	SD	CI - 95% ¹
Goal-oriented		GO1	5.00	1.85	[4.87;5.13]
		GO2	4.87	1.94	[4.74;5.01]
		GO3	4.84	1.97	[4.68;4.98]
		GO4	4.83	1.97	[4.68;4.97]
Expected return		ER1	4.99	1.92	[4.86;5.12]
		ER2	4.96	1.91	[4.81;5.10]
		ER3	4.96	1.92	[4.82;5.10]
		ER4	4.94	1.93	[4.81;5.09]
Causation	Competitive analysis	CA1	4.97	2.00	[4.82;5.11]
		CA2	4.95	1.95	[4.80;5.09]
		CA3	4.94	1.95	[4.79;5.08]
		CA4	4.87	2.00	[4.73;5.02]
Overcome unexpected events		UE1	4.90	2.03	[4.75;5.06]
		UE2	4.90	1.98	[4.75;5.04]
		UE3	4.91	1.97	[4.76;5.05]
		UE4	4.92	1.97	[4.78;5.06]
		UE5	4.91	1.95	[4.77;5.06]
Effectuation	Orientation by means	OME1	5.09	2.19	[4.93;5.26]
		OME2	5.06	2.21	[4.90;5.23]
		OME3	5.02	2.25	[4.85;5.20]
		OME4	5.07	2.22	[4.91;5.22]
Affordable loss		AL1	3.79	1.50	[3.69;3.90]
		AL2	3.87	1.55	[3.74;3.98]
		AL3	3.93	1.65	[3.81;4.04]
		AL4	3.98	1.69	[3.86;4.10]



Partners	PAR1	4.51	1.97	[4.36;4.65]	
	PAR2	4.66	2.17	[4.50;4.82]	
	PAR3	4.73	2.15	[4.57;4.89]	
	PAR4	4.74	2.11	[4.58;4.89]	
Make the most of unexpected opportunities	UO1	4.63	2.15	[4.48;4.79]	
	UO2	4.68	2.15	[4.53;4.84]	
	UO3	4.72	2.14	[4.57;4.87]	
	UO4	4.72	2.20	[4.57;4.88]	
	UO5	4.75	2.24	[4.59;4.92]	
Client Satisfaction	CS1	6.01	1.01	[5.93;6.08]	
	CS2	6.27	0.87	[6.20;6.33]	
	CS3	6.53	0.78	[6.48;6.59]	
	CS4	6.59	0.75	[6.53;6.64]	
	CS5	6.59	0.77	[6.53;6.64]	
Performance	Employee Satisfaction	ES1	6.10	0.97	[6.03;6.17]
		ES2	6.25	0.90	[6.19;6.32]
		ES3	6.42	0.87	[6.36;6.48]
		ES4	6.53	0.83	[6.46;6.59]
Company Performance	CP1	6.42	0.81	[6.36;6.47]	
	CP2	6.39	0.90	[6.33;6.46]	
	CP3	6.52	0.83	[6.46;6.58]	
	CP4	6.67	0.76	[6.61;6.72]	
	CP5	6.50	0.88	[6.44;6.57]	

¹ Bootstrap interval.

Respondents tended to agree more with the items of the construct performance, where the average ranged from 6.01 to 6.67. For the items of the causation and effectuation constructs, the lowest and highest means were 4.83 and 5.00, and 3.79 and 5.09, respectively.

b) Factor analysis

Table 3 presents the factor loadings, communalities, and weights of the factor analysis. It is noteworthy that the loads were high in all constructs. Therefore, it was not necessary to remove any item.

Table 3: Factor Analysis of first-order constructs.

Constructs	Items	C.F. ¹	Com. ₂	Peso (α)
Goal-oriented	OM1	0.983	0.967	0.251
	OM2	0.991	0.982	0.253
	OM3	0.992	0.984	0.253
	OM4	0.990	0.981	0.253
Expected return	RE1	0.966	0.933	0.256
	RE2	0.982	0.965	0.260
	RE3	0.973	0.947	0.258
	RE4	0.966	0.933	0.256
Causation	AC1	0.961	0.923	0.257
	AC2	0.980	0.961	0.262
	AC3	0.969	0.939	0.259
	AC4	0.957	0.916	0.256
Overcome unexpected events	SI1	0.950	0.902	0.203
	SI2	0.977	0.955	0.209
	SI3	0.971	0.943	0.208
	SI4	0.967	0.935	0.207
	SI5	0.971	0.943	0.208

Effectuation	Orientation by means	OME1	0.990	0.979	0.252
		OME2	0.994	0.987	0.253
		OME3	0.993	0.985	0.253
		OME4	0.989	0.978	0.252
	Affordable loss	PA1	0.952	0.907	0.259
		PA2	0.967	0.936	0.263
		PA3	0.964	0.930	0.262
		PA4	0.952	0.906	0.259
	Partners	PAR1	0.978	0.956	0.255
		PAR2	0.980	0.961	0.256
		PAR3	0.979	0.959	0.256
		PAR4	0.976	0.953	0.255
	Make the most of unexpected opportunities	AI1	0.972	0.945	0.204
		AI2	0.977	0.955	0.205
		AI3	0.975	0.951	0.205
		AI4	0.979	0.958	0.205
AI5		0.978	0.956	0.205	
Performance	Client Satisfaction	SC1	0.821	0.675	0.238
		SC2	0.901	0.812	0.261
		SC3	0.831	0.691	0.241
		SC4	0.827	0.684	0.240
		SC5	0.766	0.587	0.222
	Employee Satisfaction	SF1	0.881	0.777	0.290
		SF2	0.887	0.787	0.292
		SF3	0.870	0.756	0.286
		SF4	0.846	0.716	0.279
	Company Performance	DE1	0.883	0.779	0.262
		DE2	0.793	0.629	0.235
		DE3	0.828	0.686	0.246
		DE4	0.828	0.686	0.246
		DE5	0.768	0.589	0.228

¹ Factor loading; ² Commonality.

Equations of the causation first-order constructs:

$$\begin{aligned}
 GO &= 0.251 \times GO1 + 0.253 \times GO2 + 0.253 \times GO3 + 0.253 \times GO4 \\
 ER &= 0.256 \times ER1 + 0.260 \times ER2 + 0.258 \times ER3 + 0.256 \times ER4 \\
 CA &= 0.257 \times CA1 + 0.262 \times CA2 + 0.259 \times CA3 + 0.256 \times CA4 \\
 UE &= 0.203 \times UE1 + 0.209 \times UE2 + 0.208 \times UE3 + 0.207 \times UE4 + 0.208 \times UE5
 \end{aligned}$$

Equations of the effectuation first-order constructs:

$$\begin{aligned}
 GO &= 0.252 \times GO1 + 0.253 \times GO2 + 0.253 \times GO3 + 0.252 \times GO4 \\
 AL &= 0.259 \times AL1 + 0.263 \times AL2 + 0.262 \times AL3 + 0.259 \times AL4 \\
 PAR &= 0.255 \times PAR1 + 0.256 \times PAR2 + 0.256 \times PAR3 + 0.255 \times PAR4 \\
 UO &= 0.204 \times UO1 + 0.205 \times UO2 + 0.205 \times UO3 + 0.205 \times UO4 + 0.205 \times UO5
 \end{aligned}$$

Equations of the performance first-order constructs:

$$\begin{aligned}
 CS &= 0.238 \times CS1 + 0.261 \times CS2 + 0.241 \times CS3 + 0.240 \times CS4 + 0.222 \times CS5 \\
 ES &= 0.290 \times ES1 + 0.292 \times ES2 + 0.286 \times ES3 + 0.279 \times ES4 \\
 CP &= 0.262 \times CP1 + 0.235 \times CP2 + 0.246 \times CP3 + 0.246 \times CP4 + 0.228 \times CP5
 \end{aligned}$$

Table 4 presents the results of the reliability, dimensionality, and convergent validity analyses of the constructs:

- All constructs reached the required levels of reliability. CA and CR indices were greater than 0.70.
- According to Kaiser's criterion, all constructs were unidimensional.
- The AVE values were greater than 0.50 for all constructs, thus demonstrating their convergent validation.
- The factor analysis adjustment was adequate since KMO was greater than 0.50 in all constructs.

Table 4: Validation of first-order constructs.

	Constructs	Items	CA ¹	CR ²	Dim. ³	AVE ⁴	KMO ⁵
Causation	Goal-oriented	4	0.992	0.989	1	0.978	0.870
	Expected return	4	0.980	0.972	1	0.944	0.831
	Competitive analysis	4	0.976	0.967	1	0.935	0.833
	Overcome unexpected events	5	0.983	0.974	1	0.936	0.907
Effectuation	Orientation by means	4	0.994	0.991	1	0.983	0.863
	Affordable loss	4	0.970	0.960	1	0.920	0.848
	Partnerships	4	0.985	0.979	1	0.957	0.860
	Make the most of unexpected opportunities	5	0.988	0.981	1	0.953	0.931
Performance	Client Satisfaction	5	0.883	0.869	1	0.690	0.776
	Employee Satisfaction	4	0.893	0.878	1	0.759	0.813
	Company Performance	5	0.876	0.861	1	0.674	0.800

¹ Cronbach's Alpha, ² Composite Reliability, ³ Dimensionality, ⁴ Average variance extracted

In the factor analysis carried out for the first-order constructs, all items presented adequate factor loadings with values greater than 0.70. In their validation, the values of Cronbach's alpha, composite reliability, number of factors, AVE, and KMO were satisfactory, demonstrating the reliability, unidimensionality, convergent validation, and adequacy of the factor analysis adjustment.

indicators showed average agreement except for the affordable loss indicator. The average of the affordable loss indicator was 3.89 with a confidence interval of [3.79;4.00] with low agreement, while that of the company performance indicator was 6.50, with a range of [6.45;6.55], thus having the greatest agreement.

c) Description of first-order indicators

Table 5 presents the description of the indicators created from the factor analysis. Therefore, all

Table 5: Description of first-order indicators.

	Indicators	Average	D.P.	1°Q	2°Q	3°Q	I.C. - 95% ¹
Causation	Goal-oriented	4.89	1.91	3.25	3.75	7.00	[4.75;5.02]
	Expected return	4.96	1.87	3.50	4.00	7.00	[4.83;5.11]
	Competitive analysis	4.93	1.91	3.25	4.01	7.00	[4.78;5.08]
	Overcome unexpected events	4.91	1.91	3.21	4.20	7.00	[4.77;5.06]
Effectuation	Orientation by means	5.06	2.20	3.00	7.00	7.00	[4.90;5.21]
	Affordable loss	3.89	1.53	3.00	4.00	5.00	[3.79;4.00]
	Partnership	4.66	2.05	2.75	6.00	6.50	[4.51;4.81]
	Make the most of unexpected opportunities	4.70	2.13	2.80	6.00	6.60	[4.54;4.86]
Performance	Client satisfaction	6.39	0.70	6.00	6.22	7.00	[6.34;6.44]
	Employee satisfaction	6.32	0.78	5.99	6.25	7.00	[6.26;6.38]
	Company performance	6.50	0.68	6.20	6.60	7.00	[6.45;6.55]

¹ Bootstrap Interval.

d) *Structural Equation Modeling (SEM)*

i. *Measurement model (Outer model)*

In the measurement model, all items presented adequate factor loadings with values greater than 0.70.

Furthermore, bootstrap confidence intervals (CI – 95%) showed that all weights were significant, thus highlighting the importance of all items for forming indicators to represent the constructs.

Table 6 presents the weights, factor loadings and commonalities of the measurement model:

Table 6: Measurement model

	Constructs	Weight(α)	I.C.-95% ¹	C.F. ²	Com. ³
Causation	Goal-oriented	0.259	[0.26; 0.26]	0.986	0.972
	Expected return	0.252	[0.25; 0.25]	0.976	0.953
	Competitive analysis	0.255	[0.25; 0.26]	0.983	0.966
	Overcome unexpected events	0.253	[0.25; 0.26]	0.980	0.961
Effectuation	Orientation by means	0.272	[0.27; 0.28]	0.978	0.957
	Affordable loss	0.215	[0.21; 0.22]	0.877	0.770
	Partners	0.278	[0.27; 0.28]	0.982	0.963
	Make the most of unexpected opportunities	0.279	[0.27; 0.28]	0.977	0.954
Performance	Client satisfaction	0.435	[0.40; 0.48]	0.926	0.858
	Employee satisfaction	0.335	[0.31; 0.36]	0.897	0.805
	Company performance	0.338	[0.31; 0.37]	0.877	0.768

¹ Bootstrap interval; ² Factorial weight; ³ Commonality.

Measurement model equations:

$$Causation = 0.258 \times GO + 0.250 \times ER + 0.257 \times CA + 0.253 \times UE$$

$$Effectuation = 0.267 \times OME + 0.215 \times AL + 0.280 \times PAR + 0.282 \times UO$$

$$Performance = 0.435 \times CS + 0.332 \times ES + 0.341 \times CP$$

Table 7 presents the validation of the measurement model:

- All constructs reached the required levels of reliability, given that the CA or CR indices were greater than 0.70.
- According to Kaiser's criterion, all constructs were unidimensional.

- The AVE values were greater than 0.50 in all constructs, thus demonstrating their convergent validation.
- According to the criteria of Fornell and Larcker (1981), there was discriminant validation in all constructs, given that the maximum shared variance was lower than their respective AVEs.

Table 7: Validation of the measurement model.

Constructs	Items	CA ¹	CR ²	Dim ³	AVE ⁴	VCM ⁵
Causation	4	0.987	0.990	1	0.963	0.896
Effectuation	4	0.967	0.976	1	0.911	0.833
Performance	5	0.884	0.928	1	0.810	0.553

¹Cronbach's alpha; ²Composite reliability; ³Dimensionality; ⁴Average variance extracted; ⁵Maximum shared variance.

In the measurement model, all items presented adequate factor loadings with values greater than 0.70. Furthermore, through the bootstrap confidence intervals, it was possible to verify that all weights were significant, thus highlighting the importance of all items for forming the indicators. In their validation, the values of Cronbach's alpha, composite reliability, number of factors, AVE, and VCM were satisfactory, demonstrating reliability, unidimensionality, convergent validation, and discriminant validity.

All constructs reached the required levels of reliability, given that the CA or CR indices were greater than 0.70. According to Kaiser's criterion, all constructs were unidimensional. The AVE values were greater than 0.50 in all constructs, thus demonstrating their convergent validation. Thus, according to the Fornell and Larcker (1981) criteria, all constructs had discriminant validation, given that the maximum shared variance was lower than their respective AVEs.

ii. *Structural model (Inner model)*

Table 8 presents the validation of the measurement model:

Table 8: Structural model

Endogenous	Exogenous	B	SE(β) ¹	CI -95% ²	P-value	R ²
Causation	Type = Franchise / Independent	0.947	0.012	[0.93; 0.96]	<0.001	89.62%
Effectuation	Type = Franchise / Independent	-0.913	0.015	[-0.93; -0.89]	<0.001	83.30%
	Type = Franchise / Independent	0.325	0.093	[-0.12; 0.73]	0.001	
Performance	Causation	0.831	0.074	[0.57; 1.09]	<0.001	58.97%
	Effectuation	0.461	0.059	[0.02; 0.79]	<0.001	

¹ Standard error; ² Bootstrap interval; GoF = 83.52%

Regarding causation, There was a significant difference (p-value < 0.001) in causation between the types of ventures. When the company was a franchise, causation was 0.947 [0.93; 0.96] units higher than when it was an independent firm. In other words, franchise respondents tended to rate causation higher than independent respondents, indicating that causation is more associated with franchises. The type of venture accounted for 89.62% of the variability in causation. The results suggest that the accounting franchise is more frequently associated with the causation decision-making process among the two business models studied, implying that entrepreneurs who invest in accounting franchises align with the causation theory. Welter and Kim (2018) emphasize that the theoretical foundations of the causation decision-making model are based on the predictable aspects of an uncertain future; that is, planning before execution improves human action in the face of uncertainty.

Regarding Effectuation: There was a significant difference (p-value < 0.001) in effectuation between the types of ventures. When the company was a franchise, effectuation was -0.913 [-0.93; -0.99] units lower than when it was an independent accounting firm. In other words, respondents from accounting franchises tended to rate effectuation lower than those from independent firms, indicating that effectuation is more associated with the latter. The type of venture accounted for 83.30% of the effectuation variability.

In other words, it can be said that the entrepreneur who chooses to invest in the independent type of business follows the guidelines established in the effectuation approach. In accordance with this logic, uncertainty is now seen as a resource and a process on which decision-making takes place. In association, the initial ambiguity of objectives is seen as a factor of creativity that generates opportunities as the entrepreneur is more open to taking advantage of the contingencies that arise during the creation of the new venture (Sarasvathy & Dew, 2005).

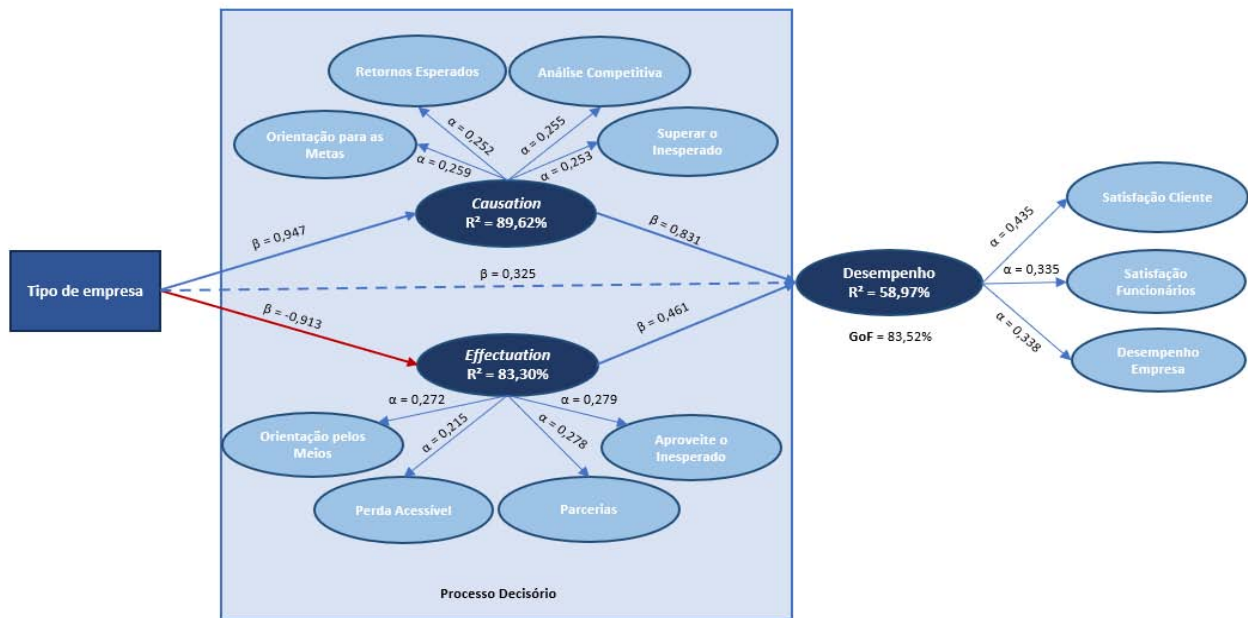
Regarding performance: There was a significant difference (p-value = 0.001) in performance between types of ventures when the company was a franchise. In

this case, performance was 0.325 [-0.12; 0.73] units higher than when it was an independent accounting firm. However, the confidence interval for this effect was non-significant, highlighting a lack of validity in these results. The results showed that starting an accounting franchise is more profitable than running an independent firm.

It is also worth noting that the model presented a GoF of 83.52%, and the bootstrap confidence intervals were in agreement with the results found via p-value, thus demonstrating greater validity of the results presented, except for the relationship between the type of venture and performance.

Thus, an improvement in organizations' performance toward finding a balance is more likely to occur when the decision-making is structured and formalized in a detailed, consistent, and transparent manner (Zivdar et al., 2017). Figure 2 presents the study's structural model.





Source: Elaborated by the authors

Figure 2: Structural model

Although the analysis of the previous table indicated a lack of validity in the relationship between the type of venture and performance (the bootstrap interval was not significant), the indirect and total effects revealed that both constructs were significant. This implies that, when observing the total effect, the performance was 0.692 [0.62; 0.78] units higher when

the company was an accounting franchise compared to when it was an independent firm. Therefore, respondents from accounting franchises tended to rate performance higher than respondents from independent companies, indicating that franchises generally have higher performance.

Structural model equation:

$$\begin{aligned}
 \text{Causation} &= 0.947 \times I(\text{Type of venture} = \text{Franchise/ own brand}) \\
 \text{Effectuation} &= -0.913 \times I(\text{Type of venture} = \text{Franchise/ own brand}) \\
 \text{Performance} &= 0.325 \times I(\text{Type of venture} = \text{Franchise/ own brand}) \\
 &\quad + 0.831 \times \text{Causation} + 0.461 \times \text{Effectuation}
 \end{aligned}$$

Table 9 presents the model's direct, indirect and total effects. It shows that although the analysis of the previous table indicated a lack of validity in the relationship between the type of venture and performance (the bootstrap interval was not significant), the indirect and total effects revealed that both constructs were significant. This implies that, when observing the total effect, the performance was 0.692

[0.62; 0.78] units higher when the company was an accounting franchise compared to when it was an independent firm. Therefore, respondents from accounting franchises tended to rate performance higher than respondents from independent companies, indicating that franchises generally have higher performance.

Table 9: Description of direct, indirect, and total effects

Endogenous	Exogenous	Direct effects		Indirect effects		Total effects	
		β	CI - 95% ¹	β	CI - 95% ¹	β	CI - 95% ¹
Causation	Type = Franchise / Independent	0.947	[0.93; 0.96]	0.000	-	0.947	[0.93; 0.96]
Effectuation	Type = Franchise / Independent	-0.913	[-0.93; -0.89]	0.000	-	-0.913	[-0.93; -0.89]
Performance	Type = Franchise / Independent	0.325	[-0.12; 0.73]	0.366	[0.74; 0.05]	0.692	[0.62; 0.78]
	Causation	0.831	[0.57; 1.09]	0.000	-	0.831	[0.57; 1.09]
	Effectuation	0.461	[0.02; 0.79]	0.000	-	0.461	[0.02; 0.79]

¹ Bootstrap interval

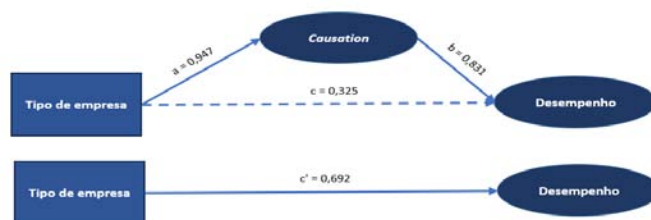
e) *Mediating Effect*

There was a mediating effect of Causation and Effectuation on the relationship between the type of venture and performance according to the methodology proposed by Baron and Kenny (1986).

Figures 4 and 5 below present the analysis of the mediating effect of causation and effectuation in the relationship between the type of venture and performance using path modeling. Thus, there was a mediating effect of causation and effectuation in the relationship between type of venture and performance, since:

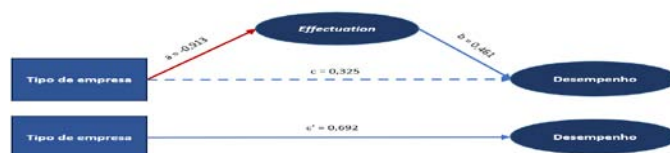
1. The type of venture significantly influenced the causation and effectuation constructs (relationship "a").

2. The type of venture significantly influenced the performance construct in the absence of mediating variables (relationship "c").
3. The mediating variables significantly and exclusively affected performance (relationship "b"). This means that even after controlling the effect of the independent variable, the mediators demonstrated a direct and statistically significant impact on performance.
4. The effect of type of venture on performance weakened, ceasing to be significant in the bootstrap interval, when the mediating variables were added to the model (relationship "c").



Source: Elaborated by the authors

Figure 3: Analysis of the causation approach's mediating effect



Source: Elaborated by the authors

Figure 4: Analysis of the effectuation approach's mediating effect

f) *Discussion of hypotheses tests*

Table 10 shows the research hypotheses.

Table 10: Results of the hypotheses of the first structural model

Hypothesis	Description	Result
H1	The causation decision-making approach is more likely to result in starting a franchise.	Confirmed
H2	The effectuation decision-making approach is more likely to result in starting an independent company.	Confirmed
H3	The causation approach has a mediation effect on the relationship between the type of venture created and its performance.	Confirmed
H4	The effectuation approach has a mediation effect on the relationship between the type of venture created and its performance.	Confirmed
H5	The types of ventures present different performance levels, with franchises showing higher performance compared to independent companies.	Confirmed

Source: Elaborated by the authors

Structural loads were significant, suggesting that the hypotheses raised in this study were confirmed. Regarding H1, the causation decision-making process varied based on the type of venture, with a tendency to lead the entrepreneur to start an accounting franchise. According to Jiang and Ruing (2017), the causation logic helps the entrepreneur make choices adopting

strategies that are useful when the scenario suggests a predictable future, the objectives are clear, and the environment is stable regardless of the entrepreneurs' actions. Considering these perspectives, the causation approach relies on decision analysis and planning. In contrast, effectuation operates with a non-predictive logic, where entrepreneurs apply emerging strategies to

seize opportunities that arise during the entrepreneurial process (Chandler et al., 2011). The causation decision-making logic is grounded in predictable aspects of an uncertain future, emphasizing that planning before execution enhances human action in the face of uncertainty (Welter & Kim, 2018).

Hence, the causation perspective characterizes prediction-based decisions (Sarasvathy, 2001; Jiang & Ruling, 2017). In contrast, effectuation examines how entrepreneurs navigate decision-making within the context of an uncertain future (Fidelis et al., 2018).

Regarding effectuation logic, Robust relationships were found regarding the statement in H2, which highlights that the effectuation decision-making approach is more likely to result in starting an independent firm. This fact corroborates the study by Sarasvathy (2001), who proposed effectuation as a contrast to causation. In the effectuation approach, the entrepreneur controls the unpredictable future by exploring its contingencies instead of trying to accumulate knowledge to predict its uncertainties and commits, first, to focus on controllable aspects. Choices are made based on the available means and the entrepreneur's imagination (Galkina & Lundgren-Henriksson, 2017).

The findings related to hypotheses H1 and H2, when analyzed together, help to meet the second specific objective of the study, i.e., examine how the adoption of causation or effectuation approaches influences the decision for the type of venture – whether a franchise or an independent firm. The results indicated that starting an accounting franchise is related to a causation decision-making approach, and starting an independent accounting firm is related to an effectuation decision-making approach.

H3 was also confirmed, which means that the causation decision-making logic had a mediating role in the relationship between the type of venture and the performance of the enterprise created. Also, the results showed that the type of venture significantly affected performance in the absence of mediating variables.

In this context, causation logic can have different effects on performance, depending on the level of technological intensity of the enterprise (Kristinsson et al., 2016). Thus, entrepreneurs with more causation behavior characteristics tend to achieve higher performance because they have more planning. Greater planning, in turn, allows the entrepreneur to seek out key resources, knowledge, and partnerships in advance to assist in business performance. It is expected, then, that the causation behavior will have a positive effect on the entrepreneur's income.

The result confirming H4 also corroborates the studies by Sarasvathy (2008), reinforcing the understanding that the effectuation logic is suitable for understanding the creation and decision-making processes in all types of enterprises. It was possible to

observe a mediating effect of effectuation on the relationship between the type of venture and performance, and the results indicated a significant influence of effectuation on performance in the sense that the higher the effectuation, the higher the performance. This demonstrates that entrepreneurs starting independent accounting firms recognized that they are more aligned with the effectuation approach and perceive high performance when following this approach. Thus, the entrepreneur identifies and seizes the means available to envision, design, and implement future plans (Dew, 2003 & Sarasvathy, 2001).

These findings are in line with studies (Tasic & Andreassi, 2008) that have already observed that the effectuation process enables several effects, even if only one or a few ideas are actually implemented. This occurs because the entrepreneur can change and adapt their goals, building other objectives over time. In addition, they can take advantage of the countless contingencies that may arise.

When analyzed together, the findings described in the tests of hypotheses H3 and H4 allow the achievement of the third specific objective, i.e., evaluate the mediating effect of using causation or effectuation approaches in decision-making. Specifically, explore how these approaches impact the relationship between the type of venture initiated and its subsequent performance.

Finally, the results showed that H5 indicates a difference in performance between the two types of venture studied, with accounting franchises demonstrating higher performance when compared to independent accounting firms, i.e., respondents from accounting franchises attributed higher scores to performance than respondents from independent accounting firms.

The analysis of H5 allowed us to complete the discussion and achieve the first and fourth specific objectives of the research, i.e., (i) compare the performance of accounting franchises versus independent firms, considering the causation and effectuation approaches employed during the decision-making process when launching a new enterprise; and (iv) determine which type of venture – franchise or independent firm – demonstrates superior performance. This last effort of analysis also allowed us to meet the study's general objective of examining the decision-making process of entrepreneurs when starting an accounting franchise versus an independent firm, all within the context of causation and effectuation theories. Therefore, these two approaches are alternatives for entrepreneurs when considering to develop new ventures (Sarasvathy, 2001).

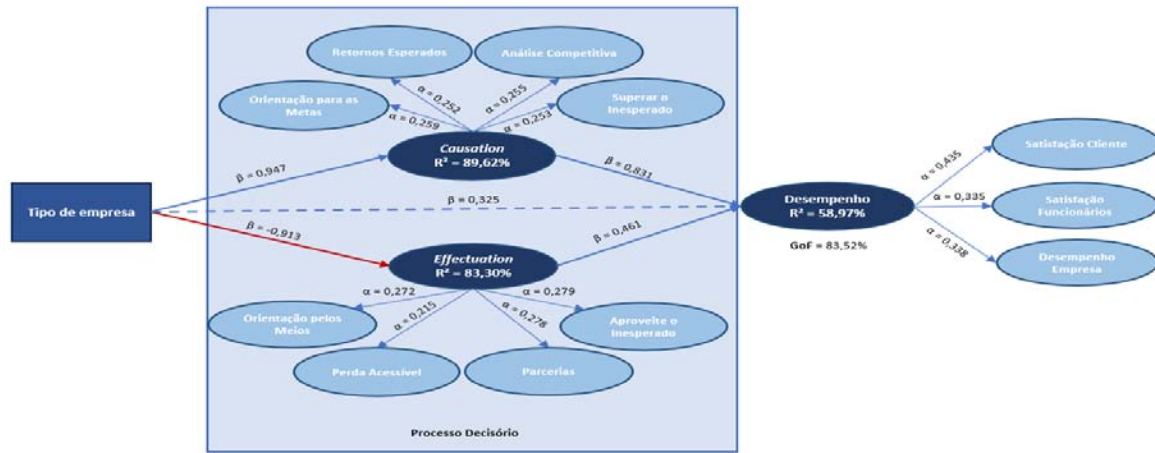
It is important to raise a counterpoint to studies that followed the work by Saravasthy (2001) and advocated a conception that both processes, causation and effectuation, are not mutually exclusive and can



occur alternatively or simultaneously and with variations conditioned by the context or choices of the entrepreneurs themselves (Harms & Holger, 2012). This occurs because the results obtained in this study show that the entrepreneur's choice between an accounting franchise or an independent accounting firm when it comes to an endeavor with superior performance will be for the franchise, which is a type of venture that has a significant relationship with the causation decision-making approach.

In the causation approach, the decision process must be structured and resolved formally (the

process has to be detailed, consistent, and transparent), aiming to improve performance (finding an equilibrium) (Zivdar et al., 2017). Thus, the theory that there is no single decision-making model but different "shades of gray" and decisions are made using both logics simultaneously, as described by Da Rocha et al. (2017, p. 19), does not apply to the decision-making process of starting an accounting franchise versus an independent accounting firm in light of the causation and effectuation approaches. Figure 5 presents the structural model of the research:



Source: Elaborated by the authors

Figure 5: Structural Model

g) Description and analysis of second order indicators

Table 10 describes the indicators created from the structural equation model. The performance indicator showed high agreement. The mean for the

performance indicator was 6.41, with a confidence interval of [6.35;6.45] with high agreement, while the effectuation indicator was 4.62, with a confidence interval of [4, 48;4,76], thus having less agreement.

Table 11: Description of second-order indicators

Indicators	Mean	SD	1stQ	2ndQ	3rdQ	CI 95% ¹
Causation	4.92	1.87	3.35	3.90	7.00	[4.79;5.07]
Effectuation	4.62	1.93	2.94	6.05	6.25	[4.48;4.76]
Performance	6.41	0.65	6.06	6.29	7.00	[6.35;6.45]

¹ Bootstrap interval

i. Correlation between indicators and ordinal variables

There was a significant negative correlation (p-value < 0.050) between the causation indicator and both age and experience in accounting. This means that as these variables increase, the causation indicator tends to decrease, and vice versa. Additionally, there was a significant positive correlation (p-value < 0.050) between the causation indicator and the other variables, indicating that as these variables increase, so does the causation indicator.

It is evident that in the causation approach, the success of the enterprise is not solely linked to

experience but also to other variables that influence starting a high-performance accounting franchise or independent accounting firm.

A significant positive correlation (p-value < 0.050) was observed between the effectuation indicator and both age and experience in accounting. This suggests that as these variables increase, the effectuation indicator also increases. However, a significant negative correlation (p-value < 0.050) was found between the effectuation indicator and the other variables, implying that as these variables increase, the effectuation indicator decreases.

In essence, starting an independent accounting firm (which has a significant relationship with the effectuation approach), age, and experience in accounting are directly related. This shows that the older the individual and the more experience they have in accounting, the stronger the correlation. This relationship is not significant with other variables.

A significant negative correlation (p-value < 0.050) was found between the performance indicator and both age and experience in accounting. This means that as these variables increase, the performance indicator decreases. Conversely, a significant positive correlation (p-value < 0.050) was observed between the

performance indicator and the other variables (excluding education), indicating that as these variables increase, so does the performance indicator.

When measuring performance, it was found that the older the individual and the more experience they have in accounting, the lower the performance. Conversely, the younger the individual and the fewer years of experience they have in accounting, the higher the performance. This suggests that these variables and others (excluding education) possess specific characteristics that lead to better results in accounting ventures. Table 11 presents the correlation between the indicators and ordinal variables.

Table 12: Correlation between indicators and ordinal variables

Variables	Causation		Effectuation		Performance	
	r ¹	P-value	r ¹	P-value	r ¹	P-value
Age	-0.36	<0.001	0.32	<0.001	-0.31	<0.001
Education	0.10	0.010	-0.14	<0.001	0.07	0.056
Experience - accounting	-0.55	<0.001	0.52	<0.001	-0.51	<0.001
Number of employees	0.17	<0.001	-0.31	<0.001	0.17	<0.001
Average investment	0.48	<0.001	-0.46	<0.001	0.50	<0.001
Number of companies owned	0.31	<0.001	-0.42	<0.001	0.29	<0.001
Growth monthly revenue	0.55	<0.001	-0.59	<0.001	0.56	<0.001

¹ Spearman correlation

ii. Comparison between indicators and variables

A significant difference (p-value < 0.050) was observed for all indicators in relation to gender. Upon examining the multiple comparisons, a difference was noted among those who preferred not to respond compared to others. The former group exhibited lower values for the causation and performance indicators and higher values for the effectuation indicator.

A significant difference (p-value < 0.050) was also found for all indicators compared to marital status. The multiple comparisons revealed a difference between separated/divorced individuals and those who were single or married. Separated/divorced individuals showed lower values for the causation and performance indicators and higher values for the effectuation

indicator. Additionally, a difference was observed in the causation indicator between married and single individuals, with married individuals showing lower values.

A significant difference (p-value < 0.050) was found when comparing all indicators with participation in companies. When the respondent was a partner, the causation and performance values were higher, while the effectuation value was lower.

A significant difference (p-value < 0.050) was observed in the causation indicator among different Brazilian regions. Upon examining the multiple comparisons, the North region showed lower values in the causation indicator compared to the Northeast and Southeast regions.

Table 13: Comparison between indicators and gender

Indicators	Gender	N	Mean	SD	1st Q	2 nd Q	3rd Q	P-value ¹	Multiple comparisons ²	
									Female	Male
Causation	Female	361	5.10	1.88	3.35	4.34	7.00		-	-
	Male	275	5.12	1.93	3.38	5.90	7.00	<0.001	0.640	-
	I prefer not to respond	82	3.48	0.28	3.30	3.43	3.69		<0.001	<0.001
Effectuation	Female	361	4.36	1.97	2.65	4.21	6.21		-	-
	Male	275	4.45	1.91	2.87	5.00	6.19	<0.001	0.663	-
	I prefer not to respond	82	6.29	0.22	6.14	6.32	6.45		<0.001	<0.001
Performance	Female	361	6.45	0.66	6.08	6.49	7.00		-	-
	Male	275	6.42	0.70	6.06	6.41	7.00	<0.001	0.644	-
	I prefer not to respond	82	6.14	0.14	6.05	6.13	6.22		<0.001	<0.001

¹Kruskal-Wallis test; ²Mann-Whitney test.

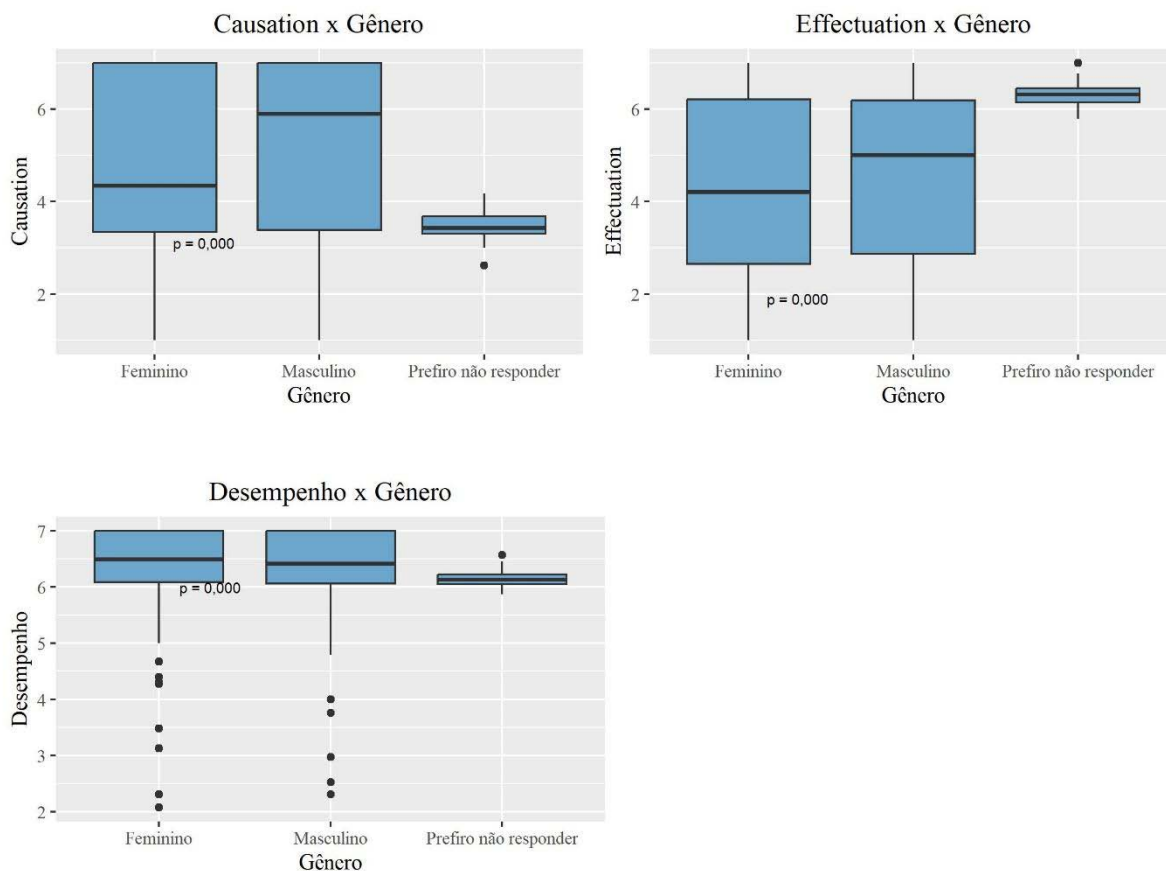


Figure 6: Comparison between indicators and gender

Table 14 presents a comparison between indicators and marital status. A significant difference (p -value < 0.050) was observed in all indicators. Upon examining multiple comparisons, a difference was noted between separated/divorced individuals when compared to single and married individuals. The latter

group had lower values for the causation and performance indicators, and higher values for the effectuation indicator. Furthermore, a difference was observed in the causation indicator when comparing married individuals to single individuals, with the former presenting lower values.

Table 14: Comparison between indicators and marital status

Indicators	Marital status	N	Mean	SD	1st Q	2nd Q	3rd Q	P-value ¹	Multiple comparisons ²		
									Single	Married	Separated
Causation	Single	192	5.43	1.81	3.54	7.00	7.00	<0.001	-	-	-
	Married	384	4.97	1.88	3.35	3.92	7.00		0.010	-	-
	Separated/divorced	136	4.10	1.53	3.25	3.48	4.00		<0.001	<0.001	-
	Widower	6	4.09	3.19	1.00	4.28	7.00		0.749	0.784	0.784
Effectuation	Single	192	4.17	1.94	2.45	3.26	6.18	<0.001	-	-	-
	Married	384	4.51	1.93	2.82	5.92	6.20		0.890	-	-
	Separated/divorced	136	5.52	1.58	5.85	6.14	6.35		<0.001	<0.001	-
	Widower	6	4.79	2.39	2.48	5.21	7.00		0.890	0.890	0.890
Performance	Single	192	6.52	0.65	6.12	6.89	7.00	<0.001	-	-	-
	Married	384	6.40	0.71	6.06	6.29	7.00		0.106	-	-
	Separated/divorced	136	6.27	0.41	6.04	6.17	6.43		<0.001	<0.001	0.003
	Widower	6	6.23	0.81	5.70	6.35	7.00		0.747	0.852	0.935

¹Kruskal-Wallis test; ²Mann-Whitney test.

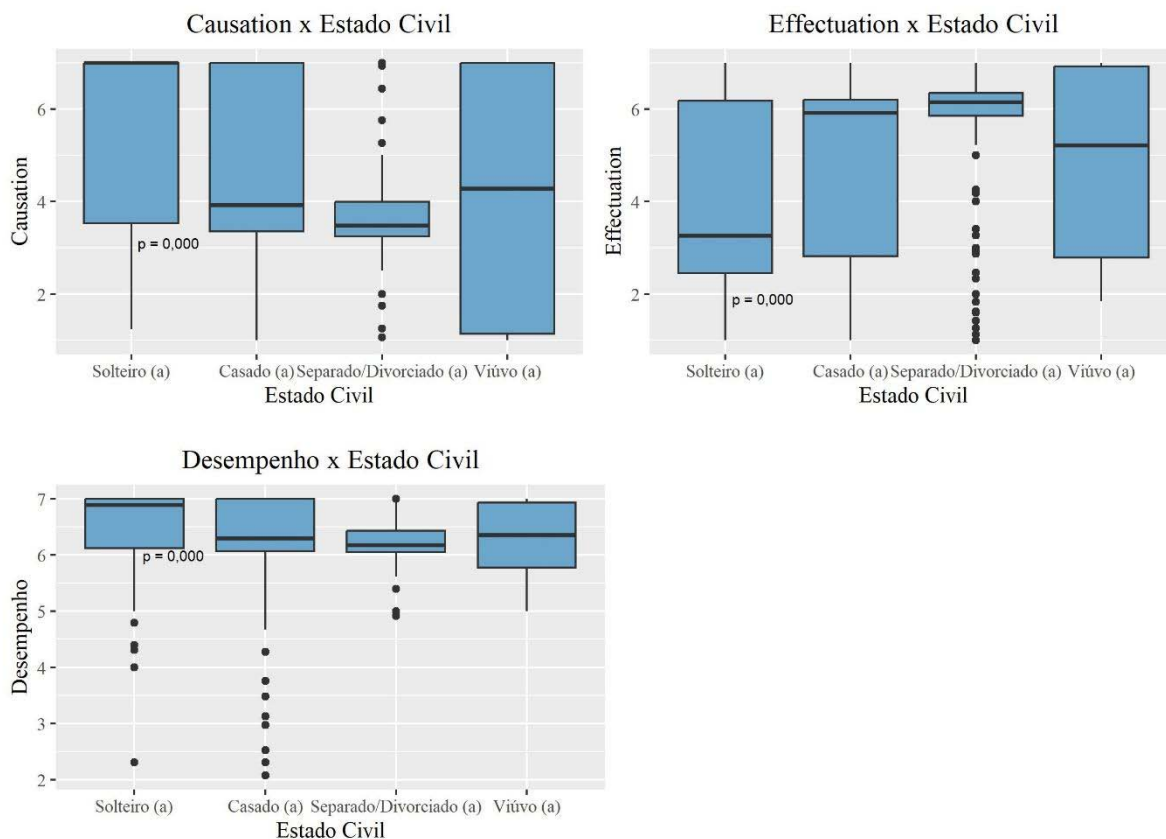


Figure 7: Comparison between indicators and marital status

Table 15 presents the comparison between indicators and employment relationships. It shows no significant difference ($p\text{-value} > 0.050$) for the three indicators.

Table 15: Comparison between indicators and employment relationships

Indicators	Employment relationship	N	Mean	SD	1st Q	2nd Q	3rd Q	P-value ¹	Multiple comparisons ²	
									Self-employed	Entrepreneur
Causation	Self-employed	1	5.02	-	5.02	5.02	5.02	0.148	-	-
	Entrepreneur	709	4.93	1.87	3.35	3.90	7.00		1.000	-
	Full-time work	8	4.10	1.90	2.33	3.85	5.94		1.000	0.156
Effectuation	Self-employed	1	7.00	-	7.00	7.00	7.00	0.122	-	-
	Entrepreneur	709	4.62	1.93	2.94	6.08	6.25		0.277	-
	Full-time work	8	4.09	1.72	2.41	4.24	5.55		0.347	0.347
Performance	Self-employed	1	7.00	-	7.00	7.00	7.00	0.053	-	-
	Entrepreneur	709	6.42	0.59	6.06	6.29	7.00		0.347	-
	Full-time work	8	4.73	2.04	2.72	5.03	6.59		0.347	0.094

¹Kruskal-Wallis test; ²Mann-Whitney test.

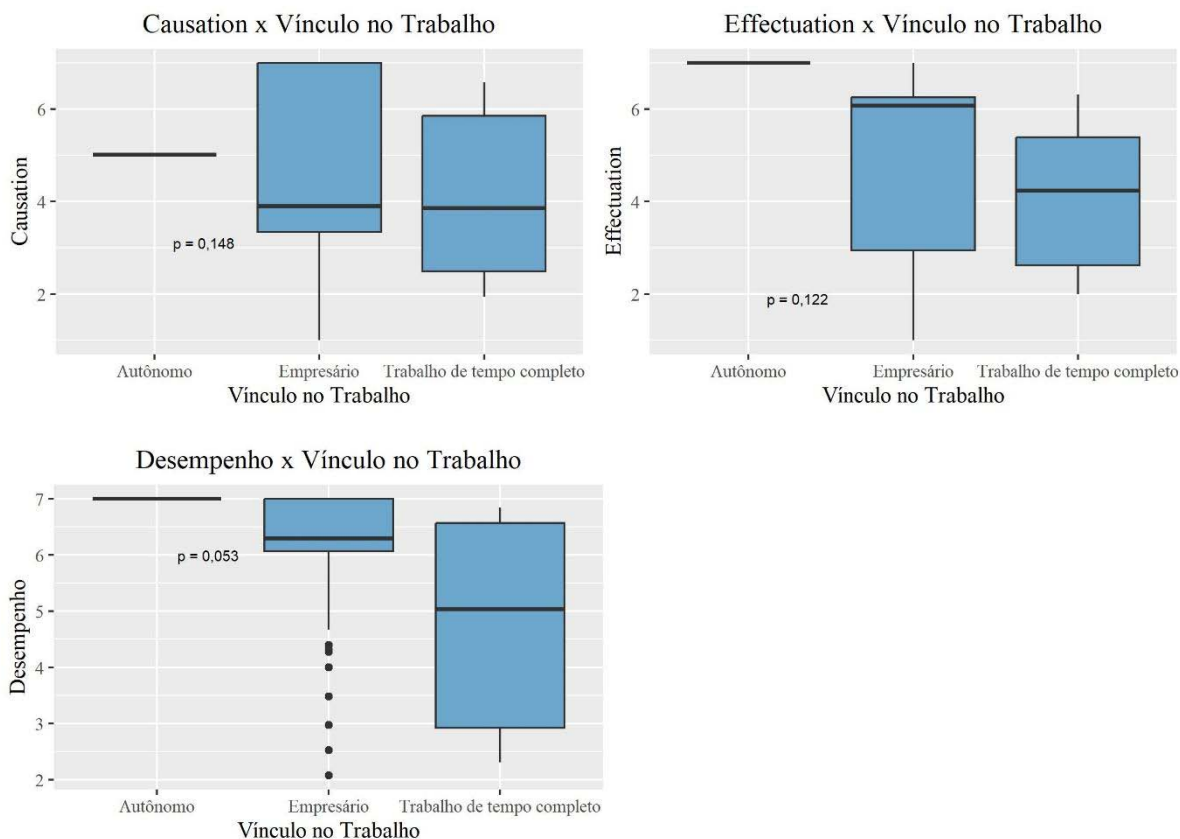


Figure 8: Comparison between indicators and employment relationships

Table 16 presents the comparison between indicators and participation in the company. It is possible to observe a significant difference (p -value < 0.050) in the three indicators for participation in the

company. When respondents were partners, the values for causation and performance were higher, while the values for effectuation were lower.

Table 16: Comparison between indicators and participation in the company

Indicators	Participation in the company	N	Mean	SD	1st Q	2 nd Q	3 rd Q	P-value ¹
Causation	Partner	307	5.44	1.78	3.50	7.00	7.00	<0.001
	Sole owner	411	4.54	1.83	3.30	3.61	7.00	
Effectuation	Partner	307	4.13	1.93	2.47	3.43	6.14	<0.001
	Sole owner	411	4.98	1.85	3.04	6.14	6.32	
Performance	Partner	307	6.53	0.62	6.13	6.70	7.00	<0.001
	Sole owner	411	6.31	0.65	6.04	6.20	7.00	

¹Mann-Whitney test.



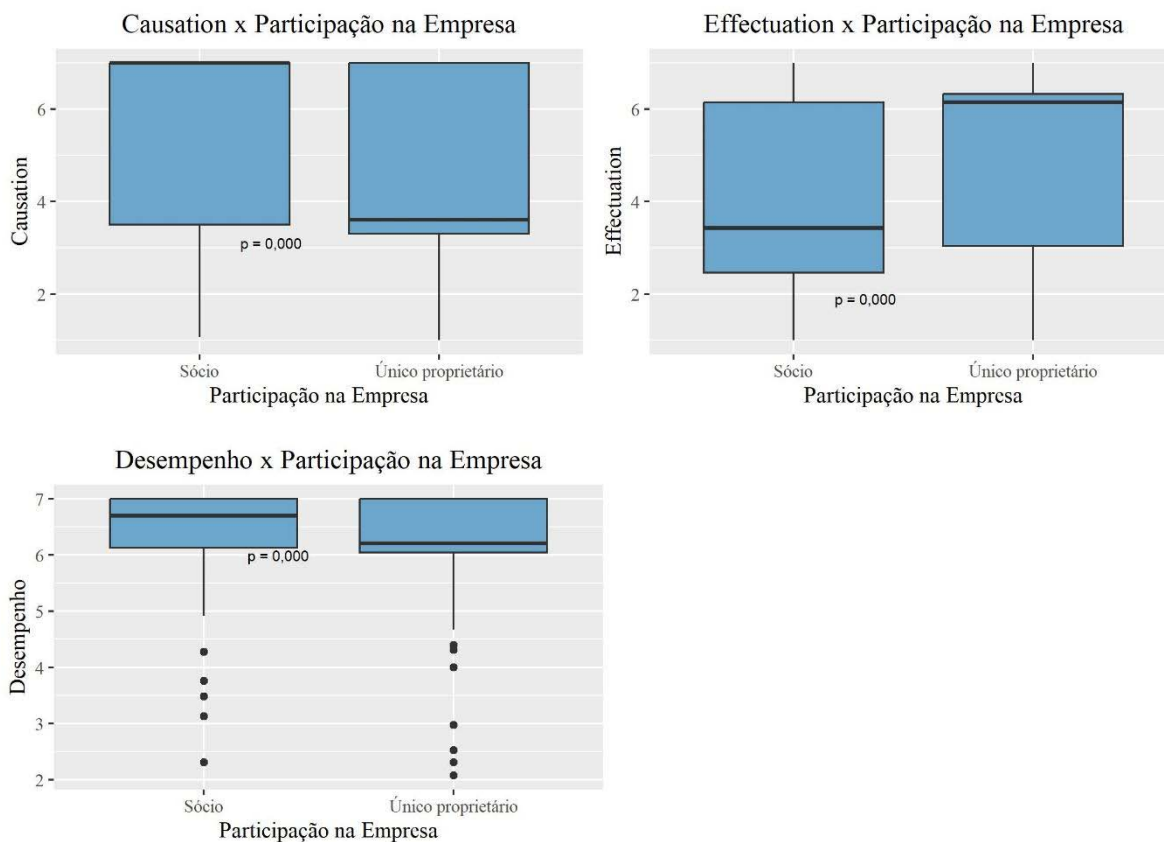


Figure 9: Comparison between indicators and participation in the company

Table 17 presents the comparison between indicators and regions of Brazil. It is possible to observe a significant difference ($p\text{-value} < 0.050$) in the causation indicator between the regions. When observing the multiple comparisons, there was a

difference in the North region compared to the Northeast region, presenting lower values, and to the Southeast region, which also presented lower values in the causation indicator.

Table 17: Comparison between indicators and Brazilian regions

Indicators	Region	N	Mean	SD	1stQ	2ndQ	3rdQ	P-value ¹	Multiple comparisons ²			
									Central West	North east	North	South east
Causation	Central West	54	5.13	1.94	3.37	5.61	7.00	0.001	-	-	-	-
	Northeast	203	5.01	1.84	3.38	3.97	7.00		1.000	-	-	-
	North	212	4.54	1.83	3.25	3.52	7.00		0.276	0.011	-	-
	Southeast	161	5.11	1.90	3.38	4.16	7.00		1.000	1.000	0.011	-
	South	88	5.16	1.83	3.42	4.31	7.00		1.000	1.000	0.016	1.000
Effectuation	Central West	54	4.21	2.11	2.12	4.13	6.21	0.072	-	-	-	-
	Northeast	203	4.63	1.91	2.99	6.02	6.28		1.000	-	-	-
	North	212	4.90	1.84	3.08	6.14	6.27		0.580	1.000	-	-
	Southeast	161	4.34	1.99	2.72	4.21	6.20		1.000	1.000	0.101	-
	South	88	4.66	1.88	3.00	6.06	6.34		1.000	1.000	1.000	0.911
Performance	Central West	54	6.49	0.58	6.12	6.70	7.00	0.258	-	-	-	-
	Northeast	203	6.48	0.51	6.10	6.34	7.00		1.000	-	-	-
	North	212	6.30	0.77	6.06	6.21	7.00		0.782	0.498	-	-
	Southeast	161	6.40	0.65	6.04	6.39	7.00		1.000	1.000	1.000	-
	South	88	6.44	0.61	6.06	6.40	7.00		1.000	1.000	1.000	1.000

¹Kruskal-Wallis test; ²Mann-Whitney test.

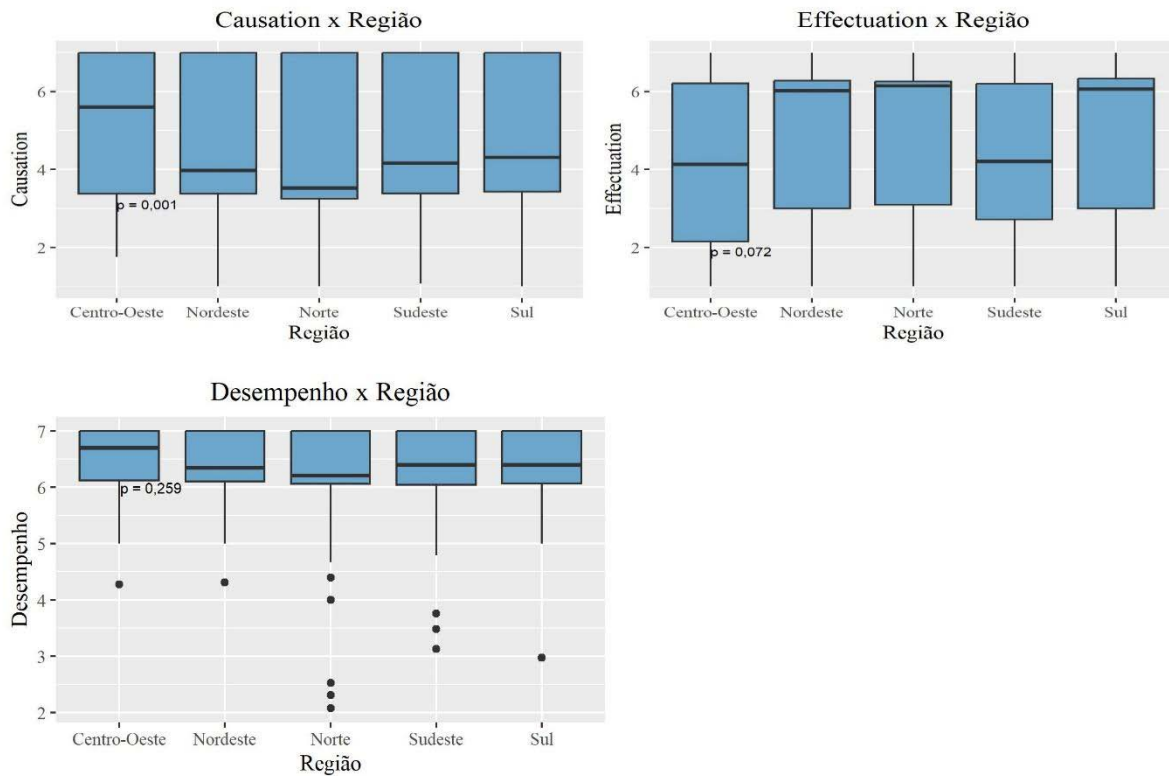


Figure 10: Comparison between indicators and Brazilian regions

h) Academic contributions

This study contributes to the literature in several ways. First, the research's originality stands out in advancing the theoretical concepts of causation and effectuation in the context of the accountant entrepreneur's decision-making process as they embark on new ventures, choosing between starting an accounting franchise versus an independent firm. Furthermore, it presents new connections with previously established concepts and highlights a counterpoint to studies that followed the work by Saravasthy (2001). These studies propose that both processes, causation and effectuation, are not mutually exclusive. They can occur alternatively or simultaneously, with variations influenced by the context or the choices made by entrepreneurs themselves (Harms & Holger, 2012). This occurs because the results obtained in this study show that the entrepreneur's choice between an accounting franchise or an independent accounting firm when it comes to an endeavor with superior performance, will be for the franchise, which has a significant relationship with the causation decision-making approach.

Following Brettel et al. (2012), the causation and effectuation theories were used to advance this discussion, confronting some studies using these concepts in a dichotomous manner. The findings shed light on this fact, revealing the superior performance of accounting franchises.

The literature review found a theoretical gap, observing that, despite the numerous studies on entrepreneurial decision-making processes considering the causation and effectuation theories, there were no studies discussing these theories and the start of an accounting franchise or an independent accounting firm, while examining the performance of these businesses.

Second, the study analyzed the decision-making process of entrepreneurs when starting an accounting franchise versus an independent firm, all within the context of causation and effectuation theories, meeting its objective. It outlined a comparative study between these accounting ventures, linking theories with business performance. In this regard, the difference in performance between franchises and conventional companies lies in the franchisor's market orientation, which indicates that the franchisees' operating strategies are based on differentiation or cost, which directly intervenes in financial and non-financial performance (Lee et al., 2015). Franchise performance is a reflection of market orientation (William, Gillis, & Xiaoli, 2020).

Third, the study enriches research on the decision-making process of starting businesses from the perspective of the causation and effectuation approaches, presenting unique results regarding how to start an accounting franchise or an independent firm. It stands out as a counterpoint to studies that followed the

work by Saravasthy (2001) and advocated a conception that both processes, causation and effectuation, are not mutually exclusive and can occur alternatively or simultaneously, with variations conditioned by the context or the choices of the entrepreneurs themselves (Harms & Holger, 2012). The findings showed that the entrepreneur's choice between an accounting franchise or an independent accounting firm, when it comes to an endeavor with superior performance, will be the franchise, a type of venture with a significant relationship with the causation decision-making approach. This was an unexpected result in understanding the decision-making process of starting a franchise versus an independent company in the light of causation and effectuation.

Fourth, the study contributes by establishing effectuation as an alternative decision-making logic in moments of uncertainty, as Perry et al. (2012) pointed out. The effectuation approach is based on this emerging line of research and has an important relationship with the decision to start an independent firm, thus complementing previous research. The effectuation theory can be understood as a dynamic process that recognizes entrepreneurship as the use of available resources to start a new venture in an uncertain environment (Scaziotta et al., 2019).

Fifth, the results indicate strong correlations between the causation and effectuation perspectives, with starting an accounting franchise and an independent firm, respectively, connecting the type of venture with the approaches adopted in decision-making.

Sixth, the originality of the research lies in reconciling the causation and effectuation theories with the accountant entrepreneur, understanding how this actor behaves in the decision-making process of starting an accounting franchise versus an independent firm, and examining the performance presented by these two types of venture. As a differential, the research analyzed the results through a quantitative approach, which allowed us to obtain robust results.

The seventh contribution refers to the need to test, develop or adapt methodologies that allow the analysis of decision-making processes in enterprises, identifying obstacles and advantages throughout the process. It also generates results that may be used in other academic projects.

Finally, the study meets the dimensions established by Appelhoff et al. (2015) and Neely, Gregory, and Plattys (1995), which made it possible to frame, through the adequacy of the questionnaire, the specific questions of causation and effectuation decision-making process, as well as the issues of measuring business performance.

i) Managerial implications

The study's results offer critical and practical insights for entrepreneurs who participated in the research and those contemplating the choice between starting a franchise or establishing an independent firm. By adopting the causation and effectuation approaches, entrepreneurs can evaluate their decision-making process and identify factors that influence the outcomes derived from their choices when embarking on a new venture.

The accountant-entrepreneur can leverage this research to consolidate information that supports the decision-making process when considering starting an accounting franchise or an independent firm. Furthermore, this study addresses a literature gap by explicitly focusing on the decision-making process related to starting an accounting franchise versus establishing an independent accounting firm, considering the perspectives of causation and effectuation theories. Additionally, it explores the relationship between the chosen approach and the positive or negative outcomes of the business. The reflective insights in this article provide decision-makers with reliable and relevant information. According to Matalamaki (2017), there remains a lack of in-depth research, and it remains unclear how both causation and effectuation logics manifest in the development of different types of companies despite the growing interest in effectuation theory in recent years.

This research is justified by the need to understand the relationship between the types of ventures (accounting franchises and independent accounting firms), taking into account the causation and effectuation theoretical approaches. The lack of in-depth studies on this topic highlights the relevance of this work. Understanding how accounting professionals face and respond to the challenges of economic volatility in their business practices will contribute not only to academia but also to the improvement of these practices and the work of these professionals.

The specific objectives outlined corroborate the importance of this research. Furthermore, the objective of analyzing the decision-making process of starting a franchise versus an independent firm in the light of the causation and effectuation theories is based on the behavior and orientation of the accountant entrepreneur when choosing the type of venture they want to start, thus presenting an applicable and pragmatic approach.

Finally, given the contemporary nature of the topic investigated, this study contributes more than just theoretically. It also presents empirical evidence that is helpful to practitioners, scholars, and entrepreneurs by examining the relationship between the causation decision-making process and the choice of starting an accounting franchise and between the effectuation decision-making process and the choice of starting an independent accounting firm. The results indicate a



positive and significant association between starting a franchise, a superior performance of this type of venture, and the adoption of a causation decision-making approach.

j) *Limitations and avenues for new research*

Although the results obtained are exclusive to the companies analyzed, this study contributes by offering insights into research on other forms of entrepreneurship, which may adapt the theoretical approaches applied here.

The results should be viewed with caution, as the notion of performance was based on the potentially biased perception of the accountant entrepreneurs. However, the inability to generalize the results does not hinder the research's capacity to assist accountant entrepreneurs in making informed decisions about starting a franchise or an independent accounting firm.

The findings and some of the limitations of this study represent opportunities for further research. Future studies may analyze the causation and effectuation decision-making processes related to starting a franchise or an independent firm through a qualitative approach, deepening the content explored in this study and its conclusions. Also, future studies can examine theoretical aspects not addressed in this research or explore other market segments while testing the model proposed here.

This study may be replicated or serve as a starting point for other investigations. It is worthwhile to analyze points that were not extensively developed in this research, such as applying the study to the factors or dimensions highlighted in the causation and effectuation theories through a quantitative approach, thus corroborating the findings of Chandler et al. (2011), Brettel et al. (2012), and Appelhoff et al. (2015). Likewise, it is suggested that the theoretical model developed by Read and Sarasvathy (2005) be adapted for use in management processes where there is a need to make decisions that can adopt the causation and effectuation theories. Future research could explore the relationship between these determinants and decision-making processes rooted in causation or effectuation.

In addition, future research may explore other business sectors. Longitudinal studies can also help minimize possible biases, as this type of research could be designed to follow entrepreneurs for a long time until they decide to create new ventures, thus alleviating retrospective bias. Such studies may improve the decision-making process of starting a franchise or an independent firm.

This study can subsidize the application of the same research format to other types of businesses, allowing for comparison. Finally, it is important to reinforce that these contributions and limitations refer to the results found in this particular study, being restricted to accounting enterprises.

V. CONCLUSION

This research aimed to analyze the decision-making process of starting an accounting franchise versus an independent accounting firm in light of the causation and effectuation theories described by Sarasvathy (2001). The model used combines insights from the entrepreneurs' decision-making process, considering the causation and effectuation logics and examining the performance of the created enterprise. Therefore, it can also be regarded as a comparative analysis between starting a franchise or an independent company.

Based on a comparative study of the results achieved in light of the causation and effectuation theories, the following research question was addressed: How does the decision-making process differ when starting a new accounting franchise versus an independent firm, considering the perspectives of causation and effectuation? And what is the relationship between the chosen approach and the new company's performance?

The study raised a counterpoint to studies that followed the work by Sarasvathy (2001) and advocated a conception that both processes, causation and effectuation, are not mutually exclusive and can occur alternatively or simultaneously, with variations conditioned by the context or choices of the entrepreneurs themselves (Harms & Holger, 2012). This occurs because the results obtained in this study showed that the entrepreneur's choice between an accounting franchise or an independent accounting firm, when it comes to an endeavor with superior performance, will be for the franchise, which is a type of venture that has a significant relationship with the causation decision-making approach.

Thus, based on the available literature on the subject, five research hypotheses were identified to be empirically tested through the development and application of structured questionnaires, answered by 718 accounting entrepreneurs, 406 of whom were managers of independent accounting firms and 312 were managers of accounting franchises located in all five regions of Brazil. The data were treated with descriptive statistics, factor analysis, and structural equation modeling.

The results confirmed the five hypotheses. Regarding H1, the causation decision-making approach is likely to result in starting an accounting franchise, suggesting that entrepreneurs who choose this type of venture are more comfortable with the causation approach. The confirmation of H2 demonstrated the association between the effectuation decision-making approach and the entrepreneur's decision to start an independent accounting firm. When analyzed together, the findings described in the tests of hypotheses H3 and H4 allow the achievement of the third specific objective,

i.e., evaluate the mediating effect of using causation or effectuation approaches in decision-making. Specifically, explore how these approaches impact the relationship between the type of venture initiated and its subsequent performance.

Finally, the results showed that H5 indicates a difference in performance between the two types of venture studied, with accounting franchises demonstrating higher performance when compared to independent accounting firms, i.e., respondents from accounting franchises attributed higher scores to performance than respondents from independent accounting firms. This finding presents a unique characteristic since, of the 718 responding entrepreneurs, only 312 were managers of accounting franchises and the majority, 406, were managers from independent accounting firms.

The analysis of H5 allowed us to meet the study's general objective of examining the decision-making process of entrepreneurs when starting an accounting franchise versus an independent firm, all within the context of causation and effectuation theories. The confirmation of H5 also led us to achieve the study's third and fourth specific objectives by comparing the performance of accounting franchises and independent accounting firms and associating these types of ventures with causation (franchises) and effectuation (independent firms).

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- 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 ELETRONIC 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 homan 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 homan 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 grunt readers. Never oversimplify: When adding material to your research paper, never go for oversimplification; this will definitely irritate the evaluator. Be specific. Never use rhythmic redundancies. Contractions shouldn't be used in a research paper. Comparisons are as terrible as clichés. Give up ampersands, abbreviations, and so on. Remove commas that are not necessary. Parenthetical words should be between brackets or commas. Understatement is always the best way to put forward earth-shaking thoughts. Give a detailed literary review.

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

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

INFORMAL GUIDELINES OF RESEARCH PAPER WRITING

Key points to remember:

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

Final points:

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

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

The discussion section:

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

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

General style:

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

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



Mistakes to avoid:

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

Title page:

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

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

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

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

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

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

Approach:

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

Introduction:

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



The following approach can create a valuable beginning:

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

Approach:

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

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

Procedures (methods and materials):

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

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

Materials:

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

Methods:

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

Approach:

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

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

What to keep away from:

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



Results:

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

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

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

Content:

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

What to stay away from:

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

Approach:

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

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

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

Figures and tables:

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

Discussion:

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

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

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



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

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

Approach:

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

Describe generally acknowledged facts and main beliefs in present tense.

THE ADMINISTRATION RULES

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CRITERION FOR GRADING A RESEARCH PAPER (COMPILATION)
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
<i>Introduction</i>	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>Methods and Procedures</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
<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
<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
<i>References</i>	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring



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