

Volume 6, Issue 10 — January — June — 2022

## Journal-Economic Systems

ISSN-On line 2523-6350

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**RINOE Journal-Economic Systems**, Volume 6, Issue 10, January – June 2022, is a journal edited semestral by RINOE. S/C Zacharie kamaha, Street: Boulevard de la Liberté, Apartamente: Immeuble Kassap, Akwa- Douala. P.C.: 5963, Republic of Cameroon. WEB: [www.rinoe.org](http://www.rinoe.org) [journal@rinoe.org](mailto:journal@rinoe.org). Editor in Chief: SUYO-CRUZ, Gabriel. PhD. ISSN: 2523-6350. Responsible for the latest update of this number RINOE Computer Unit. ESCAMILLA-BOUCHÁN, Imelda. PhD, LUNA-SOTO, Vladimir. PhD. S/C Zacharie kamaha, Street: Boulevard de la Liberté, Apartamente: Immeuble Kassap, Akwa-Douala. P.C.: 5963, Republic of Cameroon, last updated June 30, 2022.

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## **Presentation of the content**

In the first article we present, *The applicability of the exequatur process for the enforcement of foreign arbitral awards in Bolivia* by FLORES, Beatriz, as next article we present, *Comprehensive diagnosis of productivity to a freight transportation company in the city of Villahermosa, Tabasco, Mexico*, for an improvement proposal by CASTRO-DE LA CRUZ, Jucelly, CHICO-JIMENEZ, Akari Fernanda, GALINDO-SÁNCHEZ, Eduardo Enoch and ELISEO-DANTES, Hortensia, with adscription in the Instituto Tecnológico de Villahermosa, as next article we present, *Strategic marketing plan for the introduction of a new product "BrigaBoom" in the Sucre city market* by BANEGAS, Madelin & ESPADA, Maria, as next article we present, *Submission: Social and Environmental Responsibility in industrial SMEs* by OBESO, María, MENDIVIL, María and BARRERAS, Cristina, with adscription in the Universidad de Occidente.

Content

Article	Page
<b>The applicability of the exequatur process for the enforcement of foreign arbitral awards in Bolivia</b> FLORES, Beatriz	1-8
<b>Comprehensive diagnosis of productivity to a freight transportation company in the city of Villahermosa, Tabasco, Mexico, for an improvement proposal</b> CASTRO-DE LA CRUZ, Jucelly, CHICO-JIMENEZ, Akari Fernanda, GALINDO-SÁNCHEZ, Eduardo Enoch and ELISEO-DANTES, Hortensia <i>Instituto Tecnológico de Villahermosa</i>	9-13
<b>Strategic marketing plan for the introduction of a new product "BrigaBoom" in the Sucre city market</b> BANEGAS, Madelin & ESPADA, Maria	14-19
<b>Submission: Social and Environmental Responsibility in industrial SMEs</b> OBESO, María, MENDIVIL, María and BARRERAS, Cristina <i>Universidad de Occidente</i>	20-30



The applicability of the exequatur process for the enforcement of foreign arbitral awards in Bolivia

La aplicabilidad del proceso de exequátur para la ejecución de laudos arbitrales extranjeros en Bolivia

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DOI: 10.35429/JES.2022.10.6.1.8

Received January 11, 2022; Accepted June 30, 2022

Abstract	Resumen
<p>International commercial arbitration is an efficient and feasible way of solving international disputes in private law, in Bolivia this field is little exploited so by this article is to analyze the effectiveness of applying the recognition and enforcement of foreign commercial arbitral awards as international conventions signed and ratified by the state, by internal policy and procedural study, to promote the effectiveness of dispute resolution with foreign elements through commercial arbitration also getting the incentive to the practice of this alternative method of resolution litigation and may be approved by courts for your requirement.</p>	<p>El arbitraje comercial internacional es una forma eficaz y factible de resolver controversias internacionales de derecho privado, en Bolivia este campo es poco explotado por lo que mediante el presente artículo se pretende analizar la eficacia de aplicar el reconocimiento y ejecución de laudos arbitrales comerciales extranjeros como convenios internacionales suscritos y ratificados por el estado, mediante el estudio normativo y procesal interno, para promover la eficacia de la resolución de controversias con elementos extranjeros a través del arbitraje comercial obteniendo además el incentivo a la práctica de este método alternativo de resolución de litigios y que pueda ser homologado por los tribunales para su requerimiento.</p>
<p>Arbitration award, Exequatur, Commercial law, Judicial process</p>	<p>Laudo arbitral, Exequátur, Derecho mercantil, Proceso judicial</p>

**Citation:** FLORES, Beatriz. The applicability of the exequatur process for the enforcement of foreign arbitral awards in Bolivia. Journal-Economic Systems. 2022. 6-10: 1-8

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## Introduction

The purpose of this article is to carry out a normative analysis of Bolivia's domestic legislation in order to identify the recognition of foreign arbitral awards in commercial matters, since, as we will explain later, arbitration as an alternative method of dispute resolution has become very important at the international level, although in Bolivia it is a little explored subject, which with the abundant procedural burden within the judicial courts would alleviate and solve in a prompt and efficient manner the problems of an international private nature.

It is for this reason that it is essential to delve into the subject not only of arbitration but also of the post-arbitration procedure, which in many cases is where the process lies, leading the situation to become embroiled in judicial instances, which is precisely what was intended to be avoided by resorting to arbitration.

This article does not project an exhaustive study of arbitration, but rather aims to generate basic guidelines for the practice of this method to develop and not to be oblivious to the progress of the rest of the countries.

As for the problem, we have focused on identifying the reasons why the institution of arbitration has not been promoted or is not widely practiced in our country, in addition to identifying the fast procedure by which the recognition and enforcement of the arbitral award framed in the New York Convention of 1958 should be developed.

In this way, we are convinced that progress will be made in the prompt resolution of commercial disputes, since it is necessary that our regulations and practicality are on a par with those of other States, given that commercial relations are becoming essentially international in nature as a result of globalisation.

In this article we will first explain the theoretical progress that the arbitration institution has deserved both at international and national level, and then identify the applicable regulations in the recognition of foreign arbitral awards in Bolivia, and at the same time identify the circumstances under which in Bolivia there are still no known exequatur procedures in commercial matters, with the information gathered we can reach a result of the research in order to draw our conclusions in this regard.

## Theoretical framework

Arbitration, in the broad sense of the term, is not new, as its practice dates back centuries, but it is since the end of the 20th century and up to the present day, as a result of the rise of the various alternative means of dispute resolution, that it has been able to position itself, achieving the proliferation of private institutions dedicated to serving as arbitrators (ICC, ICSID, etc.) which intervene to provide the parties in conflict with a prompt, suitable and rapid response in comparison with the time required to process the case in judicial instances until its conclusion. All of this, it is worth remembering, was largely encouraged by the signing (at the end of 1992) of the North American Free Trade Agreement, where one of its articles establishes the commitment of the States Parties to facilitate access to alternative means of dispute resolution [Acedo, 2013].

In international trade matters, arbitration has taken on great importance in recent years, positioning itself as the most representative and effective alternative dispute resolution method at the international level, basically consisting of the voluntary submission of the parties to the arbitration process, which concludes with an award, equivalent to a judgment, resolving the merits of the case, however, However, when this decision is approved in the national jurisdiction, it comes up against the exequatur procedure for recognition of the award, since, according to the position of the publicists, they argue that the arbitration award is of a jurisdictional nature, as the intervention of the judicial courts is necessary for it to be enforceable, as an arbitration court lacks the coerciveness to make the award effective [Barragán García, 2012].

It is at this point that there is a meeting between private and public law, on the one hand there is the principle of the autonomy of the will of the parties to decide to voluntarily submit to arbitration to settle their disputes through an arbitration clause, and on the other the domestic legal system that may or may not recognise the decision of the arbitral tribunal, The institution of arbitration as an alternative and effective method of dispute resolution, which aims above all to prevent the courts from hearing the dispute and to accelerate the settlement of disputes in a viable way, would in this sense be destroyed.

There is another position that identifies the arbitration institution not as "an alternative form of conflict resolution" but as another judicial way of dealing with conflicts, justifying that due to the serious crisis of the judicial system worldwide in contemporary society, arbitration has been seen as "weaving a series of myths about its reality, and granting it a quality that it neither has nor corresponds to it" [Quiroga, 2013], and that in the long run, rather than benefiting it, it will reduce its strength as an adequate antecedent mechanism for resolving conflicts between private parties.

He also affirms that arbitration cannot be considered as an alternative to the judicial process, because it is not, neither historically nor in reality; nor is the waiver of rights or the judicial transaction. They are antecedent mechanisms of conflict resolution that procedural law contains of its multiple variables, where the jurisdictional judicial process is the final, terminal way of achieving the solution composed by the State in the absence of the will of the litigants.

In this respect, we can point out that this doctrinal position is not the most widely accepted worldwide, since the aim of arbitration is precisely to avoid the judicial courts, which have a heavy procedural burden to deal promptly with arbitration claims, and once the dispute has been resolved, to proceed with the homologation of the award in the state where it is to be enforced. In this sense, the United Nations, with the aim of harmonising rules on international arbitration, advocated the creation of adjective laws with a view to also agreeing substantive laws, which the majority of States are adopting without reservations, so that arbitration could be perfectly unified, at least on a regional level, which would greatly facilitate the solution of problems, thus contributing to the progress of international trade relations.

We also understand that thanks to this integration process there is a great consensus that States are obliged to recognise the validity of the arbitration agreement and to proceed with the recognition and enforcement of arbitral awards, which in commercial matters unified the rules through the UNIDROIT16 principles of international contracting, the UNCITRAL17 model law of UNCITRAL, among others, to make international investments more effective and thus have legal certainty and between States and their private relations.

Although arbitration awards in international commercial matters are recognised as definitive, it is necessary for each State, in accordance with its domestic legislation, to grant them recognition, checking that they do not infringe on domestic law, so that they can be enforced in accordance with national law, without incurring in any illegality in terms of their procedure [Briseño, 2012], all this in respect of the principle of State sovereignty and also in respect of the principle of party autonomy.

Now, in order to make it possible for the decisions taken by the arbitrators on a specific case to become effective and be executed in a territorial area different from where the award was rendered, it is regulated through the New York Convention, we can also say that it is this convention that in an attempt to simplify the recognition process and strengthen arbitration as a method of dispute resolution, which in 1958 eliminated the double exequatur procedure, which delayed the execution and increased the costs for the winning party.

This instrument, ratified by 147 countries, entered into force for Bolivia on 28 April 1995, is made up of sixteen precepts, of which the one we are interested in highlighting at this moment is the IV according to which in order to obtain the recognition and enforcement of the award -that is, the exequatur- for which the party requesting it must submit, together with the claim, the duly authenticated original of the award or a certified copy, as well as the original of the arbitration agreement (the agreement) or a certified copy, which in this sense are much more accessible requirements than those established in the Panama Convention.

It also establishes that the exequatur can only be denied for seven specific reasons that are included in the following Article V and that succinctly refer to the lack of defence of any of the parties, nullity of the agreement or the award or exequatur contrary to public order [Hernández and García 2012].

In Latin America, the culture of arbitration still has a long way to go, so it is useful and practical to review its development process in other systems such as the French system, which is quite advanced, stimulating international arbitration with the minimalist conception of public order, without leaving the interests of the country completely unprotected, but also without hindering the development of arbitration [Albornoz, 2014]. According to this position, it is understood that "even in the presence of the laws and principles of public order, the control of the award by the judge of nullity or enforcement judge must be minimal and cannot annul or enforce it except in exceptional cases.

On the contrary, despite Bolivia being a signatory of these principles and conventions, it has not yet been fortunate enough to know and "recognise" a foreign arbitral award in commercial matters, mainly for two reasons, 1) that the exequatur procedure is alien to the knowledge of the competent judges, and/or 2) that arbitration as an alternative method of dispute resolution is not promoted and practiced to reach an agile agreement between parties, so that we will analyse the application of these two hypotheses to identify the root of the situation regarding arbitration.

### **Regulations concerning the process of exequatur of arbitral awards in Bolivia**

Prior to the normative analysis, it is necessary to make an assessment of the constitutional reception that international arbitration has had in Latin America, highlighting that almost all constitutional texts contain provisions that favour arbitration, as for example in Argentina, Peru establishes the principle of unity and exclusivity of the jurisdictional function, which means that it opens as a jurisdiction independent from the arbitral one.

Likewise, Ecuador recognises arbitration, mediation and other alternative dispute resolution procedures; Venezuela promotes these alternative means in accordance with international conventions; a similar case is that of Mexico which, although not constitutionally recognised, is established in one way or another in the Commercial Code and the Federal Code of Civil Procedures, confirming the legality of arbitration in its territory [Briceño, 2011].

Bolivia is not excluded from this recognition, although it is not express and exhaustive in the constitutional text, it opens up a recognition framed within the principle of legal pluralism established in Article 118, recognising the coexistence of different jurisdictions in the territory, in addition to the fact that according to Bolivian legislation, which regulates arbitration and conciliation, any "arbitral decision of substance that has been issued outside Bolivia" is considered a foreign award (Article 79 of Law N° 1770).

As mentioned above, recognition is a matter of private international law. It is a judgement on the admissibility of the effects of a foreign decision, recognising it as having the same effect as a decision of the forum of a comparable nature. It is a formal and declaratory act. Formal, because it does not review the merits of the case.

The facts are not assessed, but a decision is taken on the formal conditions laid down for granting or refusing recognition. And declaratory, because it allows foreign res judicata to produce the same effects as it would produce in its State of origin [Andaluz, 2013, p. 3]. In Bolivia, the rules of the New York Convention on the subject are applicable to the recognition and enforcement of foreign awards. As an exception, the rules of Law No. 1770 apply. For the following reasons: firstly, in arbitration matters, there is an assumption in favour of recognition and enforcement, which obliges to opt for the application of the international instrument most favourable to the requesting party.

Only if there is no applicable instrument that is more favourable, the domestic provisions will be applied<sup>21</sup>; the same rule refers us to those instruments to which recourse could be had and, as Andaluz explains, the most appropriate because it is more favourable is the New York Convention because its scope of application is broader and not restrictive, by admitting that not only the States party to the convention are obliged to comply but also those that are not signatories to it, as well as those that are not signatories to it.

Furthermore, it can be analysed that it is applicable to all awards that require recognition, according to Article I, when referring to "arbitral awards", whether they are of a commercial, family or other nature. Therefore, it can be inferred that it is applicable to the commercial and investment spheres dictated in national or international arbitration.

Therefore, of the four conventional instruments to which Law No. 1770 refers, the New York Convention is the international instrument most favourable to recognition and enforcement. Therefore, in compliance with Article 80.II, the Supreme Court of Justice must opt for its application. This does not exempt that since its ratification it should have applied it i) to the recognition of awards prior to it; and ii) to awards whose recognition procedure had been underway under other norms [Andaluz, 2013].

Standard	
Convention on Arbitration Commercial Arbitration Convention on Recognition y Enforcement of Judgments Arbitral Awards Foreign Arbitral Awards	Adopted at Panama on 30 January 1975. 30 January 1975.  Adopted at New York on 10 June 1958. June 1958.
Convention on Effectiveness Extraterritorial Efficacy of Foreign Judgments and Awards Foreigners	Adopted at Montevideo on 8 May 1979. 8 May 1979.
Convention on the Settlement of Investment Disputes Investment Disputes between States and Nations of Other States	Adopted in Washington on 18 March 1965.

**Table 1** Regulations applied to the recognition of foreign awards in Bolivia  
*Source: Bolivian Arbitration and Conciliation Law No. 1770*

Having already identified as a guideline applicable to exequatur proceedings in Bolivia, it is necessary to analyse the requirements for which recognition would not be appropriate for a foreign award to be homologated according to Article V of the New York Convention, in the first place is that the party against which the award fails must request its non-recognition before the competent authority, in Bolivia that authority would be the Supreme Court of Justice according to the powers conferred by the Political Constitution of the State;

What the Court must do is first of all to observe that there have been no defects of consent such as the incapacity of the parties, errors of notification regarding the composition of the arbitral tribunal and the arbitration procedure, as well as to examine that the arbitration does not exceed the terms of the commitment between the parties.

Another ground for refusing recognition is that the decision of the arbitral tribunal is contrary to the public order of the country, which means that it must not exceed the imperative norms in force in Bolivia.

Within the Bolivian adjective norm we have the Code of Civil Procedure (1976), it establishes the application of international treaties saying that the sentences and other resolutions (arbitral awards) dictated in a foreign country will have the force established by the respective treaties, however the Political Constitution of the State in its article 410 establishes the normative hierarchy and after the CPE, the international treaties have binding force, therefore the procedure established in the New York Convention is more beneficial for the recognition of the foreign award.

Now, having made it clear that the arbitration institution is legally constituted in our domestic legislation and having ratified the New York Convention in its entirety and without restrictions, it is necessary to examine the reasons why in Bolivia, although arbitration processes have been developed, exequatur procedures have not yet been carried out.

First of all, we can establish that throughout Bolivian history there has not been a strong security in internal commercial relations, and even less so internationally, they have always been informal and somewhat unstable, and this situation has worsened during the last two presidential terms, as a "protectionist" economy has been implemented in an attempt to revalue national production, As a consequence of the above, international trade relations are scarce and, consequently, the controversies arising from them, although foreign awards have been recognised, it has been mostly in family arbitration matters (divorce cases), but not in commercial arbitration matters.

### Methodological framework

This article is framed within the basic type of research, as it aims to make a theoretical contribution in order to expand the doctrine on arbitration, taking into account that the process of recognition of exequatur in Bolivia is not very widespread and practised, i.e. practically no recognition of awards in international commercial arbitration has taken place.

It is also descriptive in nature because it aims to analyse the development of the arbitration institution in Bolivia as an effective tool for resolving conflicts between parties with foreign elements without going to court and thus promote its application.

And it is documentary because the information was obtained from books, scientific articles, scientific journals, etc.

### Results

Previously we can establish that the strong impact and transcendence of globalisation, regional integration, the liberalisation of international trade and the enhancement of the autonomy of the will of the parties, together with the progress of international commercial arbitration law at a global and Latin American level, have led to a greater degree of independence of arbitration with respect to the jurisdictions of the States, the situation of liberation of arbitration from the legal systems has not been total, however, it can be stated that there has been progress, with greater or lesser intensity in each country.

Subsequently, having studied the situation of the recognition of arbitral awards, both doctrinally and normatively, it is worth making an analysis, in this regard [Serrano, 2013] states that firstly the arbitration process runs parallel to the judicial process, unlike what is expressed by the doctrine that maintains the position that there is no difference between the two processes. However, the intervention of the judicial organ of the State is not alien to arbitration, since, in order for the decision of the arbitrator or arbitral tribunal to obtain the binding force to be complied with by the parties in a coercive manner, in the event that it has not been complied with voluntarily.

It is necessary that the award be brought before a judge, who, once the corresponding incidental process of homologation (recognition) has been concluded, may, and only until then, give it enforceable force and thus be enforceable between the parties and third parties.

Therefore, what is certain is that in the face of a party reluctant to comply with the award, arbitral decisions must be approved by the competent authority, otherwise they would remain mere theoretical exercises, devoid of any legal effect or material achievement [Serrano, 2013]. This means that although there is a strong tendency to attribute independence to the arbitration institution, it is necessary for the award to be approved by the country's courts in order for it to be recognised by the Supreme Court, but the latter should only hear questions of form and not the substance of the dispute itself. In other words, it must

### Conclusions

With regard to commercial arbitration, we conclude that it is the most suitable method for the parties in general, for the resolution of their disputes, because its essence is the willingness of the parties to submit to the professionals they consider appropriate, in addition to being faster, it helps to lighten the procedural burden of the courts. In the international sphere, it is the dispute resolution method par excellence because it is framed within the unification of international commercial rules as the law applicable to the resolution of the merits of the case.

It has been observed that in Bolivia, the majority of those interested in resolving their conflicts through arbitration, although they resort to this means, once the award has been rendered, it is not recognised or approved by the Bolivian courts and therefore, according to the theory of the jurisdictionalists, this award would not have coercive force for its forced compliance. In this sense, it is necessary to disseminate the exequatur procedure for the recognition of foreign awards, since our country is a signatory, without restrictions, of the New York Convention.

## Acknowledgements

To the Scientific and Technological Production Unit and the Scientific Society of Law Students (S.C.E.D.) of the Universidad Mayor Real y Pontificia de San Francisco Xavier de Chuquisaca.

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Comprehensive diagnosis of productivity to a freight transportation company in the city of Villahermosa, Tabasco, Mexico, for an improvement proposal

Diagnóstico integral de la productividad a una empresa de autotransportes de carga en la ciudad de Villahermosa, Tabasco, México, para una propuesta de mejora

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DOI: 10.35429/JES.2022.10.6.9.13

Received March 12, 2022; Accepted June 30, 2022

Abstract

The importance of marketing generates economic growth to people involved, in this way it also brings competitiveness in the market, bringing improvements in the innovation of new tools that facilitate the work of human being, also obtaining benefits such as continuous improvement and a better Economy for society, the present project aimed at the proposal of a marketing logistics model for the producers of Havana Chile of Villahermosa Centro. With the purpose of improving competitiveness in the state, in the same way to offer new training to the farmers of the Havana Chile, the diagnostic tools were designed according to the information obtained from the analysis of the interviews. Likewise, the results obtained from the analysis and development of the design of the logistics method of marketing will be attached, improving the supply chain.

Productivity, Competitiveness, Measurement

Resumen

La importancia de la comercialización genera crecimiento económico a las personas involucradas, de esta manera también trae competitividad en el mercado, trayendo mejoras en la innovación de nuevas herramientas que faciliten el trabajo del ser humana, obteniendo también beneficios como la mejora continua y la una mejor economía para la sociedad, el presente proyecto dirigido a la Propuesta de un modelo de logística de comercialización para los productores de chile habanero de Villahermosa Centro. Con el propósito de mejorar la competitividad en el estado, de igual forma ofrecer una formación nueva a los agricultores del chile habanero, las herramientas de diagnóstico se diseñaron conforme a la información obtenida del análisis de las entrevistas. Así mismo se anexarán los resultados obtenidos del análisis y el desarrollo del diseño la del método logístico de comercialización, mejorando la cadena de suministros.

Productividad, Competitividad, Medición

**Citation:** CASTRO-DE LA CRUZ, Jucelly, CHICO-JIMENEZ, Akari Fernanda, GALINDO-SÁNCHEZ, Eduardo Enoch and ELISEO-DANTES, Hortensia. Comprehensive diagnosis of productivity to a freight transportation company in the city of Villahermosa, Tabasco, Mexico, for an improvement proposal. Journal-Economic Systems. 2022. 6-10: 9-13

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Introduction

This project is focused on the "Proposal of a Logistical Marketing Model for the Habanero Pepper Producers of Villahermosa, Centro". It develops different documentary research that serves as a reference to the context of the market in the commercialisation of habanero peppers, reflecting the changes in the environment within the industry and its current state.

It also identifies the distribution channels, which are an important factor in marketing, as they are the basis for the delivery of the product to the direct customer. The different logistic models were also analysed and the one that best suits the proposal of the present project was selected.

The CROSS-DOKING model is a decentralised methodology that adapts to the improvement proposal and also to the recommendation of the implementation of a cooperative. Bringing tangible and intangible benefits for producers, the area and society in general, generating a market that can be expanded to market on a large scale as in different states of the republic and export to other countries.

This model brings great benefits and advances to the producers, ensuring that they obtain knowledge and tools, such as a business model, a logistical model of marketing and implementation of organic products, providing as a benefit the quality of the final product.

Methodology

The following is the structure with which this research was carried out, which is developed in different stages, complemented with different tools to achieve the objectives and the proposed goal of this research.

- First stage: information was collected from various electronic sources to obtain a more global context on the subject.
- Second stage: two interviews with the producer in which the current problems of the area were identified, through this technique the next stage was developed.

- Third stage: a SWOT Matrix was developed, which consists of an evaluation of the strong and weak factors that together diagnose the internal situation, as well as its external evaluation, which also provides an overview of the strategic situation determined.
- The fourth stage is the development of the logistic marketing model, where the cross-docking model is used. Cross-docking is a logistic distribution system in which goods are received through an inbound element and are immediately ready for shipment instead of being stored.
- The fifth step is the design of the business model canvas, a strategic management tool that provides insight into the key aspects of a business, how they relate to each other and how they compensate for each other.

Introduction to the study method

The Integral Diagnosis will allow a visualisation of the current situation of the producers, identifying their advantages and disadvantages.

In order to carry out this diagnosis, a tool was used to gather the necessary information, with the purpose of obtaining an external and internal analysis of the producers.

The Measurement Instrument consists of six variables to be evaluated, which are:

- VARIABLE 1. Economic: With this factor, the problems that limit producers to obtain the necessary capital for production are identified.
- VARIABLE 2. Political: This factor analyses how involved the government associations are in the development and support of the habanero chilli cultivation.
- VARIABLE 3. Environmental: This factor will highlight the climatic difficulties that most affect the producers.

- Technological VARIABLE 4. Technological: In this factor it is expected to obtain information about the development of innovation and the use of new technologies to make the work easier for the producers.
- VARIABLE 5. Social: The segment and the situation of the relationship with the clients will be identified.
- VARIABLE 6. Cultural: This factor relates the social variable to the different types of people who consume the product based on their customs, creation of products derived from the habanero chilli, among other aspects that define it.

Segmentation for measurement

According to (SAGARPA, 2015), the states of Yucatan with 41% and Tabasco with 32%) produce a little less than three quarters of the national production. The same report also shows that Tabasco is a producer identity that supplies the same state and the state of Veracruz.

- Having as data the following:

Prices (\$/kg)		Marketing Margin					
Entity Producer	Supply center and monitored city	Producer	Majority	Consumer	Majority	Retail	Total
Campeche	Campeche, Camp.	16.61	35.00	50.53	25.39	15.53	40.92
Nayarit	Durango, dgo.	29.41	80.13	29.06	50.72	19.77	70.49
Yucatan	Monterrey, NL	18.88	34.61	54.00	15.75	19.39	35.12
Yucatan	Chavila, Qro.	18.88	30.25	40.00	11.37	9.75	21.12
Quintana Roo	Chetumal, Q.Roo	24.52	48.75	42.50	24.23	-6.25	17.98
Tabasco	Villahermosa, Tab.	13.64	22.19	34.05	8.55	11.86	20.41
Tabasco	Veracruz, Ver.	13.64	36.88	29.75	23.24	-7.13	16.11
Yucatan	Merida, Yuc.	18.88	28.03	58.78	9.15	30.75	39.90

Figure 1 Marketing margin 2015  
Source: (SAGARPA, 2015)

Today the (SAGARPA, 2022), reports that most of the habanero chilli harvest that was marketed in the main national markets came from three entities: Quintana Roo, Veracruz and Yucatan. Villahermosa was found to have the lowest consumer price of \$68.5 per kg, with the lowest marketing margin of \$45.04 per kg.

Measurement Instrument

The present instrument was designed considering the information collected in the interviews applied to the producers.

In applying the measurement tool the researcher developed the SWOT matrix, which is supported by the response of the interviewee.

This tool was used to analyse the internal and external contexts of the production environment, in which strengths and opportunities are identified in order to maximise them for the benefit of the producer.

Internal factors	STRENGTHS		WEAKNESSES	
	F 1	Quality of habanero pepper	D 1	Cheap Sale of the Product.
	F 2	Proximity to Markets and Points of Sale in the área	D 2	Disinterest in marketing
	F 3	Use of Inputs based on Organic Materials (Local)	D 3	Lack of Economic Investment
	F 4	Experience in production and construction of safe irrigation and growth areas	D 4	Scarce Technology in Cultivation and Production
	F 5	Cultivation areas along the main road	D 5	Third Parties in the Supply Chain
	F 6	Land availability.	D 6	Low and Unsafe Areas
	F 7	Self-regulation of Production Quality	D 7	Inconstant Production
	Average		Average	
Factors external	OPPORTUNITIES		THREATS	
	O 1	Advice to producers on Certifications and Economic issues.	A 1	Producers with lower prices per kg
	O 2	Market supermarket chains, central de abasto, other states and even other countries.	A 2	Low Demand In The Area
	O 3	Application of new production techniques	A 3	High Prices in Production Inputs
	O 4	Improve cultivation and harvest conditions	A 4	Plant annihilating pests
	O 5	Facilitate access to the Cultivation and Point of Sale areas	A 5	Expensive distribution
	O 6	Access to Government Support	A 6	Infertile Seasons of Production Land
	O 7	Create a cooperative in Havana Chile	A 7	Preference in government support
	Average		Average	

Table 1 SWOT Matrix  
Source: Author's perception

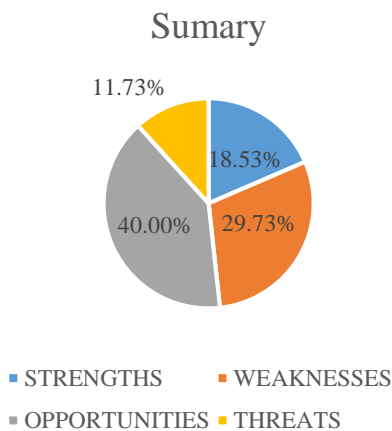
Results and interpretation

After having applied the self-diagnosis tool, an analysis of the scores obtained for the factors was carried out. The following results were obtained:

Summary	Summary	Percentage
Strengths	84	18.53%
Weaknesses	129	29.73%
Opportunities	115	40.00%
Threats	80	11.73%
Total	750	100.00%

Table 2 current situation index items  
Source: Author's perception

This table reflects the values that you saw each of the factors giving an overall value of 750 points that this value makes up 100%, which brings as a benefit that each index reflects the percentage of affectation, information reflected in the graphs 1. In the following graph is observed in more detail that the highest percentage is the factor of opportunities, and the second is the weaknesses, with this it is established that the opportunities established in the context analysis of the SWOT matrix can be maximized more and achieve minimize the negative parts that are the weaknesses and threats, achieving the proposed strategies successfully.



Graph 1 Summary  
Source: Author's perception

To continue with the analysis, a situational index study was carried out, with which a perspective of the current market conditions of the producers was obtained using the following formula:  
$$\frac{((\text{Opportunities} + \text{Strengths}) - (\text{Weaknesses} + \text{Threats}))}{((\text{Strengths} + \text{Opportunities}) + (\text{Weaknesses} + \text{Threats}))} \times 2$$
, which gave a situation index of -4.90%, and when observing table 9 it is positioned in a situation of equilibrium. This is shown in the following table:

Maximum	Mínimo	Maximum
Very unfavorable	-200%	-100%
Unfavourable	-100%	-30%
Balance	-30%	30%
Favorable	30%	100%
Very favorable	100%	200%

Table 3 Current situation  
Source: Author's perception

This means that the producer, although he does not have a sufficient base to sustain himself, continues to produce a certain amount of habanero peppers to keep himself in the market.

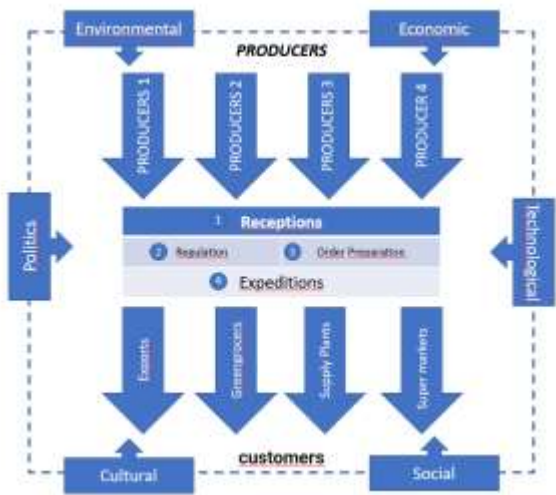
Proposal and interpretation

The CROSS-DOCKING model establishes the loading units, which are prepared and organised by the producers with the final customer in mind. The operation is limited to receiving the production and dispatching them without further intervention by the warehouse workers.

Phases of the operation:

1. Scheduling of the distribution by the suppliers.
2. Reception of the goods in the warehouse.
3. Registration
4. Review of the cargo received
5. Loading onto trucks for distribution

The aim of this model is to provide producers with a more convenient way of marketing by promoting a habanero chilli cooperative as an intermediary, which would be a centralised distribution centre that would generate pre-established orders, thereby achieving quick delivery orders, as the product has a very short life cycle.



Graph 4 CROSS-DOCKING  
Source: Author's perception

Relationship of environmental variables to the logistics marketing model

These factors could have a great impact on the model as they cannot be controlled. Having them identified helps the people involved in the development of the model and the cooperative to foresee certain effects and to create quick resolutions, as well as to know how to take advantage of them and obtain benefits from them.

The technological environment is a changing factor that always brings greater benefits as it is involved in different areas of the model, such as new tools implemented in the reception of goods, preparation of the goods themselves, continually innovating new logistics applications and software that help to make the processes easier and more efficient, as well as maintaining better control of the activities.

The political environment has an influence in the areas of regularisation and expeditions, since these are the ones that establish the quality norms, having as an objective a standard and maximum quality level, achieving that the production is adequate for local and international consumption, it also has as a development the opening for exportation to other countries and obtaining the appropriate permits and certifications.

The economic environment, this is a factor that defines the amount of production of each producer, since depending on their capital is their capacity to produce habanero chilli, with the correct care products, using services that benefit in quality, means an investment and to obtain it is also necessary the economic contributions that the political environment establishes. This also provokes the motivation to continuously plant habanero peppers in our state.

The environmental environment, this variable is one of the most important to study since this is the one that defines the total production quantity of a farmer, the climate is changeable and is different for each geographical area in which the habanero chilli is grown, to maintain control over this in the canvas model certain strategies developed to obtain control over the temperature and the correct growth of the plants are recommended.

The social and cultural environment, these go hand in hand, they are developed through daily consumption and internationally, defining the demand for this product, for this it is important to make a disclosure of its consumption in various products, managing to obtain the support of consumers, one of the recommended strategies for this is to be a participant in cultural events, in the locality and in other states, so the quality and taste that defines the habanero chilli from Tabasco will be known to other states, recognising the effort and quality that the farmers of this product have obtained.

This model is complemented by a business model, one of the most important problems when marketing habanero peppers is not knowing how to make beneficial deals or agreements for the farmers. For this reason, it is suggested that those interested be trained in the sale of their harvest, giving a fair value to the labour used, time spent, as well as the materials and inputs invested in the production.

The following is the complement to the model:



Graph 5 CANVAS

Source: Author's perception

### Conclusions

In this study, it was possible to identify the errors that the producer uses in the market, also finding that the main barriers come from the absence of transport and fixed buyers, in the same way the economic variable with which the hypothesis of this project is verified "The lack of financing for the processes of cultivation and commercialisation have caused the low production and producers of habanero peppers". Either because of the low capital of the producer or the lack of governmental support directly and indirectly affects the production processes.

The proposal of a logistic model of commercialisation for the producers of habanero peppers in the municipality of Centro Tabasco, the design of this centralised Cross Docking model benefits the producers to organise better logistic processes of their harvests, it is verified in the applied studies and in the acquired results that the commercial logistic model will benefit the producers in their process.

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Strategic marketing plan for the introduction of a new product "BrigaBoom" in the Sucre city market

Plan estratégico de marketing para la introducción de un nuevo producto “BrigaBoom” en el mercado de la ciudad de Sucre

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DOI: 10.35429/JES.2022.10.6.14.19

Received March 15, 2022; Accepted June 30, 2022

Abstract

The business idea was born from the opportunity to be seen in the market to satisfy consumers who prefer handmade products that have no process by machine, in this case is the development of artisanal chocolates considering that its production is not costly. The current consumer market is wide chocolates this because the city of Sucre and its people are very traditional in the preparation and use thereof. Sucre has many companies engaged in the manufacture of chocolates whether some craft or processed, What he wants the company is offering artisanal brigadeiros coconut and almonds and the name that will make you know the company is "Brigaboom". The strategies that were used to be a product in the market are the following, a penetration strategy to establish itself in the market and after a growth strategy that will incorporate a variety of other products and expand brigadeiros line. The advantages to this business plan are in the efficient use of inputs required for each unit, as a handicraft product does not require high processing costs does not contain chemicals such as artificial flavors and preservatives, as well as the process does not contain any use of machinery.

Resumen

La idea de negocio nace de la oportunidad de hacerse ver en el mercado para satisfacer a los consumidores que prefieren productos hechos a mano que no tengan proceso por maquina, en este caso es la elaboración de chocolates artesanales considerando que su producción no es costosa. El mercado consumidor actual de chocolates es amplio esto debido a que la ciudad de Sucre y su gente son muy tradicionales en la preparación y uso de los mismos. Sucre cuenta con muchas empresas dedicadas a la fabricación de chocolates ya sean algunos artesanales o procesados, Lo que busca la empresa es ofrecer brigadeiros artesanales de coco y almendras y el nombre que le hará conocer la empresa es "Brigaboom". Las estrategias que se utilizaron para ser un producto en el mercado son los siguientes, una estrategia de penetración para establecerse en el mercado y después de una estrategia de crecimiento que incorporará una variedad de otros productos y ampliar la línea de brigadeiros. Las ventajas a este plan de negocios están en el uso eficiente de los insumos necesarios para cada unidad, como un producto artesanal no requiere altos costos de procesamiento no contiene productos químicos tales como sabores artificiales y conservantes, así como el proceso no contiene ningún uso de maquinaria.

**Citation:** BANEGAS, Madelin & ESPADA, Maria. Strategic marketing plan for the introduction of a new product "BrigaBoom" in the Sucre city market. Journal-Economic Systems. 2022. 6-10: 14-19

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## Introduction

The present investigation will be carried out through a strategic planning for the commercialisation of a new product "brigadeiro", which will satisfy the needs of each of the inhabitants of Sucre. The brigadeiro is a small, ball-shaped sweet. Its basic ingredients are chocolate, butter, egg yolks, sugar and others. The aim of introducing this new product to the market is to meet the expectations of consumers by presenting this innovation using different marketing strategies. According to this we will get to know the preferences of our potential customers which will be our main objective to satisfy. For this we will take into account the following methods and techniques: scientific method (deductive, inductive, analytical and statistical), research techniques (interviews, surveys, focus group and direct observation), sampling techniques (non-probabilistic sampling, causal or incidental sampling). Understand that the product you are trying to introduce to the market is a luxury product.

## Theoretical framework

### Methodology to be developed

A survey will be carried out with our target consumers, which was determined through sampling using the probabilistic and stratified random method using non-probabilistic and causal techniques so that our universe is representative and differentiated.

Projective techniques of association were applied, through a tasting of the interviewees, to determine which stimulus or response came to mind when they tasted the product. To determine the perception of potential consumers towards the new product, a tasting of the two varieties (coconut candy and chocolate with and without almonds) to be sold was carried out by means of a focus group, giving observations due to the different tastes and preferences.

The statistical method will be applied with the aim of obtaining numerical information about a property or quality of the object or phenomenon, where measurable and known magnitudes are compared.

A SWOT analysis was also carried out, demonstrating the strengths, opportunities, weaknesses and threats presented by this proposal.

**Strengths:** Own production plant and design, original product, research and development area in the process of growth, high degree of communication between each area of the company, marketing and advertising strategies unknown to the competition, dynamic organisation, not static (i.e. each department makes its own decisions).

**Opportunities:** Strategic alliances with travel agencies and curators, low-cost raw material for the company.

**Weaknesses:** Image and brand not positioned in the market, few mobile resources, financial resources in the process of growth, high level of employee attrition for new job opportunities.

**Threats:** Strong competition, barriers to entry for the product as the leader in this segment being "chocolate for you", substitute products such as regular chocolate, that due to lack of knowledge of product innovation, consumers under 18 would not consume it without an advertising strategy, that people over 45 years of age, despite their preference for chocolate, are restricted from consuming it for health reasons. [Martin, Allauca, Pico, & Valdiviezo: 2011].

## Result

First of all, marketing research is systematic, so systematic planning is needed at all stages of the marketing research process. The procedures followed at each stage are methodical, well tested and, as far as possible, planned in advance. Market research is intended to provide reliable information that expresses the true state of affairs, is objective and should be conducted in an unbiased manner.

For the market study, research tools such as the survey were implemented, where simple questions were asked to show directly what the consumer wants and expects from the new product to be marketed. [Martin, Allauca, Pico, & Valdiviezo: 2011].

The market study was useful for two main reasons: the first is that we observed that the environment changes rapidly when a new product and service is introduced creatively. The following are the results obtained through the market study.

Age	Frequency	Percentage valid
Between 18 - 20 years old	39	25%
Between 21 - 23 years old	33	21%
Between 24 - 26 years old	19	2%
Between 27 - 29 years old	11	7%
Between 30 and over	53	34%
Total	155	100%

Table 1 Age range of respondents

As can be seen in table 1, people aged 18 and older were considered for the survey. Thirty-four percent of the respondents were aged 30 years and we can define that they are in favour as they have the power to acquire a new product such as "BrigaBoom".

Sex	Frequency	Percentage valid
Valid Female	97	63%
Male	57	37%
Total	154	
Lost System	1	
Total	155	100%

Table 2 Gender of respondents

Table 2 shows that 63% of the respondents are female and the remaining 37% are male.

Consumption	Frequency	Percentage
	valid	válido
Yes	138	89%
Valid No	17	11%
Total	155	100%

Table 3 Consumption of chocolates by the surveyed population

Table 3 shows that 89% of the surveyed population consumes chocolate and 11% is indifferent or does not consume it. This data helps us to understand the degree of chocolate consumption in the population we are targeting with our product.

Varieties	Frequency	Percentage valid
Chocolates	55	40%
Truffles	22	16%
Valid Tablets	13	9%
Dragees	27	19%
with filling	22	16%
Total	139	100%
Lost System	16	
Total	155	100%

Table 4 Tastes and preferences

In table 4, the variety of chocolates is considered as a range of product lines that are available on the market. This table shows that 40% of the population has a taste and preference for chocolates, 19% for dragées, 16% for truffles and filled chocolates, and 9% for chocolate bars. With the data obtained, we can thus offer the products that are most purchased by the public and in the same way be able to offer new products made with chocolate.

Acquisition of the product	Frequency	Percentage valid
Central Market	42	30%
SAS Supermarket	29	20%
POMPEYA Supermarket	3	2%
Fairs	12	9%
Valid Neighbourhood shops	16	12%
Company's own branch	27	19%
Mini markets	9	7%
Others	1	1%
Total	139	100%
lost System	16	
Total	155	100%

Table 5 Place where consumers buy chocolates for consumption

Table 5 shows that the Central Market, with 30%, is the place where the product is most frequently purchased. With this data we can determine the location to be able to offer our product directly to the consumer.



Weeks		Frequency	Percentage
			valid
	between 1 or 2 times a week	80	58%
	between 3 or 4 times a week	28	20%
Valid	a week		
	5 or more times	4	3%
	per week		
	other	27	19%
	Total	139	100%
Lost	System	16	
Total		155	100%

**Table 6** Frequency of chocolate consumption

Table 6 shows that 58% of the population consumes chocolate 1-2 times a week.

Companies		Frequency	Percentage
			valid
	Chocolate atelier	3	2%
	Chocolate factories sucre	19	14%
	Taboada s.r.l. chocolate factories	22	16%
	Solur s.r.l chocolates for you	70	50%
Valid	Chuquisaca chocolates	6	4%
	Choco art handmade chocolate	9	7%
	Chocolates charcas la plata	1	1%
	Fábricas de chocolates mi bombón	3	2%
	Others	6	4%
	Total	139	100%
Lost	System	16	
Total		118	100%

**Table 7** Companies with the largest share of the market

Table 7 shows the market share in which the competition is positioned; Chocolates Para Ti is the market leader with 50% and Chocolates Charcas La Plata with 1%. This data helps us to understand which companies we are competing against in order to determine our sales expectations for our product.

Brigadeiros	Frequency	Percentage
		valid
Yes	47	39%
No	75	61%
Total	122	100%
System	33	
Total	155	100%

**Table 8** Positioning of Brigadeiros on the market

In table 8, it can be seen that "BrigaBoom" has a minimum market share in Sucre with 39%, this data is of such importance as it will help us to generate strategies to be able to increase our market share.

Media	Frequency	Percentage
		valid
Television	124	80%
Radio	14	9%
Newspaper	3	2%
Posters and flyers	7	5%
Internet	3	2%
Gigantographies	4	2%
Total	155	100%

**Table 9** Preference of the media through which a product should be advertised

Table 9 indicates the media through which the product should be publicised and the degree of preference of the surveyed population was television with 80% and with a minimum preference of 2% was the newspaper, internet and billboards. These are of utmost importance in order not to generate unnecessary expenses for advertising our product.

Bs payable	Frequency	Percentage
		valid
Between0.50 a 1 bs	23	20%
Between1 a 1.50 bs	65	55%
Between1.50 a 2 bs	29	25%
Total	117	100%
System	38	
Total	155	100%

**Table 10** Willingness to pay for a brigadeiro weighing 10 gr

Table 10 shows that 55% of the population is willing to pay between Bs 1 to 1.5 for a 10 gram unit of BrigaBoom. This data will help us to better coordinate our pricing policy.

Conclusions

In conclusion to the research carried out, the response from the focus group tasting was that the product was mostly accepted, but with some observations due to different tastes and preferences, for some it was very sweet and for others it was perfect; The size of the brigadeiro is adequate and they would be willing to pay 1.50 bolivianos per unit, and because of the type of packaging presented to them as a prototype, they were given to understand that the product they are trying to introduce to the market is a luxury product, so their frequency of purchase would be in the range of once or twice a week or once a month.

They also felt that the product did not appear to be a handmade product, but rather suggested that it is a product with a more meticulous, detailed production process and the use of technology.

Projective techniques of association were applied, through a tasting of the product to the interviewees to determine what stimulus or response came to mind when they tasted the product. The response was one of approval but with certain observations that need to be improved.

According to the valuation indicators, the projections made of the demand in the income statement, etc. It reflects being a profitable company through the elaboration of the Brigadeiros in an artisanal way.

It was possible to demonstrate the profitability and acceptance of the product by consumers, as well as to identify the different target segments to which the company can address.

Acknowledgements

To the Universidad Mayor Real, and Pontificia San Francisco Xavier de Chuquisaca, and to the Scientific and Technological Production Unit.

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Submission: Social and Environmental Responsibility in industrial SMEs

Sumisión: Responsabilidad Social y Ambiental en PyMES industrials

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DOI: 10.35429/JES.2022.10.6.20.30

Received March 06, 2022; Accepted June 13, 2022

Abstract

The paper shows results of an exploratory and descriptive research of the practices of social and environment responsibility (SR) of industrial aquaculture small and medium enterprises (SMEs). It is a qualitative study, 15 farms in the municipality of Ahome, Mexico, which addresses the environmental dimension and relationship with the community. The most important findings indicate that aquaculture organizations have different levels in the way they manage and set their guidelines regarding the RS and environmental, to pass through different stages of organizational learning such as: compliance, gestion and strategic. The importance of studying this industry sector in the northwest of the country, constitute its strategic status in food production in the country, job creation and improved livelihoods in rural areas , as well as significant impacts to the environment and the communities where they are settled.

Resumen

El trabajo muestra resultados de una investigación exploratoria y descriptiva de las prácticas de responsabilidad social y ambiental (RS) de pequeñas y medianas empresas (PYMES) industriales acuícolas. Se trata de un estudio cualitativo, de 15 granjas del municipio de Ahome, México, que aborda la dimensión ambiental y la relación con la comunidad. Los hallazgos más importantes indican que las organizaciones acuícolas tienen diferentes niveles en la forma de gestionar y establecer sus lineamientos respecto a la RS y ambiental, al pasar por diferentes etapas de aprendizaje organizacional como son: cumplimiento, gestión y estratégica. La importancia de estudiar este sector de la industria en el noroeste del país, constituyen su condición estratégica en la producción de alimentos en el país, la creación de empleo y la mejora de los medios de vida en las zonas rurales , así como los impactos significativos para el medio ambiente y las comunidades donde se asientan.

Citation: OBESO, María, MENDIVIL, María and BARRERAS, Cristina. Submission: Social and Environmental Responsibility in industrial SMEs. Journal-Economic Systems. 2022. 6-10: 20-30

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## Introduction

Industrial aquaculture SMEs are especially relevant for being a productive activity that generates food and has a high co-dependence on the use of natural resources in their production processes; social and environmental responsibility among this type of organisations is increased by the shared responsibility they have in their impacts, which tend to be more local and with regional effects.

This industry has been subject to significant criticism, mainly from non-governmental organisations (NGOs) and some academic sectors, who have pointed out that shrimp farms heavily damage the environment: specifically the mangroves during the construction of the ponds, pollute estuaries with untreated wastewater, valuable losses due to the capture of wild larvae and the local displacement of the population. This has generated several debates among NGOs, academic institutions, and industry, and it is necessary to review the validity of these claims and suggest relevant remedial actions to improve the sustainability of aquaculture organisations (Engle and Valderrama, 2006).

There are countries that are already responding strongly to aquaculture issues with collective actions that seek to give legitimacy to planning, and trying to ensure that aquaculture producers self-enforce regulations related to environmental protection (Raux, Bailly, & Nhuong, 2006).

The objective of this study was to analyse the social and environmental responsibility (S&ER) actions of aquaculture industrial SMEs in the municipality of Ahome, in order to identify their levels of management and organisational learning in terms of corporate social responsibility.

The methodology is qualitative, using semi-structured interview and non-participant observation techniques, based on GRI and Aquaculture Practices Certified (U.S.) instruments; in the environmental dimension and the relationship with the community, as well as the proposal of Zadek (2004) for the identification of the levels of management and organisational learning of Corporate Responsibility.

## Social and Environmental Responsibility in industrial SMEs

The origin of the concept, the context in which it has emerged, the evolution it has presented and the way in which it has been disseminated, has allowed academic discussion to proliferate, generating a series of national and international institutions, which have been dedicated to issuing definitions, indicators, and recommendations for the correct implementation of practices on Corporate Social Responsibility (CSR) (Portales & García, 2012).

In this evolution, CSR has been defined from different spheres and with different interests: trade unionists focused on the welfare of employees; environmentalists on respect for the environment; for communities living where extractive industry multinationals operate, CSR must first respect their traditions and customs of life, and so on. CSR thus appears to have multiple meanings depending on the lens through which it is viewed, making it difficult to encompass in a single definition (Portales & García, 2012). However, it is possible to find a common background that has allowed a certain consensus to be reached on the concept of CSR.

For this paper, the following definition has been adopted: "CSR is the conscious and consistent commitment to fully comply with the purpose of the company, both internally and externally, considering the economic, social and environmental expectations of all its participants, showing respect for people, ethical values, the community and the environment, thus contributing to the construction of the common good" (CEMEFI, 2009, p.4).

The internal and external organisational environment considers the stakeholders, i.e. the shareholders or owners of the company, the managers and the employees, also involving the scenario in which the company's activities are carried out, such as the production process or decision-making. In this group, there is a series of commitments such as, for example, to carry out a business conduct that moves the company towards a management with principles and values aimed at achieving a better quality of life, a safer work environment and a positive reflection towards the external community.

It is in the internal environment, where the relationship with natural resources and responsibility for environmental impacts begins, from the input of inputs to the production process, the process itself and its forms of production and products and by-products, in order to achieve efficiency in the management of resources used and consumed, not only trying to lower production costs, but also seeking to prevent, reduce or eliminate the harmful effects on the ecosystem that belongs (community and environment).

In the external environment of the organisation, corporate social responsibility extends to business partners, suppliers, customers, competitors, public stakeholders, the local community, authorities and civil society organisations.

An external stakeholder group, relevant to the current research, is the community where the organisations are based, as it includes issues such as: competition for resources, employment and local hiring (inclusiveness), education and capacity building, wealth generation, local cultural and heritage resources, risk management for the business activity and avoiding health risks for the community(ies) where the farms are based, promoting the well-being of the local community and the contribution of the company to its economy (ISO, 26000). These factors are fundamental issues in business-community relations for the development of local communities.

Another factor of external interest for the research carried out has been the natural environment, which includes soil, the flora on it, fauna, water, basically (ISO, 26000). For this study, the importance is to identify the relationship that productive activities have with the natural environment and how significant their practices can be for the ecosystem in which they are located.

The search for a better quality of life requires a reduction in the total consumption of resources; an organisation should take actions to improve the quality of life, taking charge of environmental problems, which most of the time, are problems caused by these activities, which can have a significant impact on the localities where they are installed, affecting their development.

With the above, it can be seen that corporate social responsibility renews the conception of the company, giving it a broad and integrating dimension, which goes beyond the mere economic issue, in which the triple facet of sustainability is perfectly incorporated: economic, social and environmental (Perdiguero, 2005). It is through social and environmental responsibility practices that companies make their contribution to achieving sustainable development.

### **Management tools for SR and environmental management**

At a global level, there are international and national organisations that have expressed their interest in developing actions to promote greater responsibility in the business sector in the face of environmental, social and economic problems. In 1999, the United Nations (UN) announced the Global Compact as an initiative that seeks to achieve a voluntary commitment to the social responsibility of organisations in four fundamental areas: human rights, labour conditions, the environment and anti-corruption<sup>8</sup>.

Other organisations such as the Organisation for Economic Co-operation and Development (OECD) and the Coalition for Environmentally Responsible Economies (CERES) have proposed principles and guidelines to promote compliance with environmental regulations and respect for different stakeholders, fostering the establishment of relationships of trust between companies and society.

This has been permeating the different sectors of society: governments, companies, NGOs, educational institutions and the population in general, also giving rise to the need for instruments and indicators that facilitate the measurement and communication of the performance of SR and environmental practices to stakeholders. One of the most important instruments worldwide is the Global Reporting Initiative<sup>9</sup> (GRI), which aims to produce sustainability reports in three areas: economic, environmental and social. In Latin America, the Latin American Programme for Corporate Responsibility<sup>10</sup> (PLARSE) is promoted by important civil society, business and governmental organisations to work together to strengthen the CSR movement in Latin America.

Other instruments of general use are the AA1000 assurance standard, developed by the British organisation Accountability<sup>11</sup> ; the ISO 26000<sup>12</sup> standard, a voluntary international regulatory guide; and the Mexican Social Responsibility Standard (IMNC), created by the Mexican Institute for Standardisation and Certification (IMNC)<sup>13</sup>.

Regarding the indicators that have been constructed to measure SR and environmental performance of organisations, we can mention the proposal of the Ethos Institute of Business and Social Responsibility<sup>14</sup> , located in Brazil, the SA8000, created by Social Accountability International with the aim of promoting better working conditions<sup>15</sup> ; and specifically for the aquaculture sector, there is the Global Aquaculture Alliance (GAA), which is an international non-profit trade association (NGO) dedicated to promoting environmentally and socially responsible aquaculture. The GAA was organised in 1997, and has developed the Aquaculture Best Practice Certification Standards<sup>16</sup>; it promotes the use of responsible aquaculture practices. It seeks to certify aquaculture industries in four areas: environment, food safety, traceability and community relations.

These different instruments have been refined to become a real organisational management tool for social and environmental responsibility, and for this research, they have also helped to identify the learning curve of aquaculture companies with regard to social and environmental issues.

Stages of organisational learning in Corporate Responsibility

According to Simon Zadek (2004) organisations generally go through five stages of organisational growth or learning in the way they handle social responsibility (Table 1).

When it comes to develop a sense of corporate responsibility, organisations corporate responsibility, organisations typically go through five stages as they move along the learning curve		
Stage	What organisations do	Why they do it
Defensive	They deny practices, effects o responsibilities	To defend against attacks on its reputation that could in the short term reputation that could in the short term affect sales, recruitment affect sales, recruitment, productivity and branding productivity and brand
Compliance	They adopt a focus on compliance based policy-based as a cost of doing business	To mitigate the erosion of economic value value erosion in the medium term due to ongoing reputational and litigation risks
Management	Introduce social issues into their core business core business strategies	To mitigate the erosion of economic value in the value erosion in the medium term and longer-term gains by integrating practices of business practices responsible business practices into their daily operations
Strategic	Integrate social issues into their core core business strategies	In order to improve the long-term economic value and gain first mover advantage by aligning strategy and first to align strategy and process innovations and process innovations with social social
Civil	Promote broad industry participation broad industry involvement in corporate responsibility	To enhance economic value in the long term by overcoming any initial disadvantages and initial disadvantages and to make gains through collective action

Table 1 The five stages of organisational learning  
Source: Zadek (2004:127)

These stages are related to knowledge, and the ability to anticipate the needs and expectations of stakeholders in order to develop future strategies that coincide with society and contribute to regional and sustainable development.

The SR and environmental practices of SMEs are a product of these levels of organisational and social learning and the level of maturity of social problems in certain localities and regions of the world.

## Methodology

This exploratory and descriptive study was based on a convenience sample of 25% (15 farms) of the 60 industrial aquaculture SMEs in the municipality of Ahome. The method designed for the research was constituted at an intra-organisational level of analysis, contemplating the actions related to the community where the farms are located, and to the natural environment with which they interact. At this level, the aim is to understand the degree of understanding of the people, groups, knowledge, tools and tasks that make up the organisation in relation to SR and A practices (Baum and Rowley, 2006).

A qualitative methodology was designed to provide the possibility of understanding the phenomenon by exploring it in the field, collecting data in situ, with the actors involved in organisational tasks at the strategic and operational levels: managers and farm managers.

The research process involved the search for various sources of primary and secondary information. Firstly, information was sought on the study problem, and documents and reports from international and national CSR organisations such as the UN, OECD, GRI, PLARSE, CEMEFI, and from the aquaculture sector: SAGARPA, CONAPESCA and SENASICA were reviewed.

The field work was carried out in 15 farms in the municipality of Ahome, the observation was carried out in order to know the production process, described and shown by those responsible for production, and to identify the technology used; as well as to know the area, the conditions, and the ways in which the farm workers carry out their activities.

The visit to the farms made it possible to verify and, if necessary, contrast the information obtained through the interviews with the farm managers and those in charge of the farms.

The semi-structured interview was conducted with the managers of 15 farms and the operational managers (25% of the universe). The questions were posed with the aim of finding out the level of information, knowledge and maturity that these actors have in relation to the topics studied: Social and Environmental Responsibility and to identify the practices they carry out in their organisations, taking as a reference the indicators proposed by the GRI and the Best Aquaculture Practices certification standards; as well as the influence that their effects have or may have on the community and the natural environment where the aquaculture companies are located.

From the indicators considered by the GRI, those considered in the social and environmental dimensions, such as the use of materials, energy, water, impact on biodiversity, emissions and discharges, among others, as well as relevant social aspects such as occupational health and safety, training, human rights and consumer health and safety, were taken into account.

From the Best Aquaculture Practices certification standards, the standards used for aquaculture certification processes were considered, which include legal aspects such as: land and water use and building regulations; community relations such as: communication to avoid or resolve conflicts and access passes; worker safety and labour relations: wages, working conditions and health; and the relationship with the environment: mangroves, wastewater, sediments, soil, water, post-larvae origin, storage and disposal of supplies, medicines and chemicals, microbial health, etc.

## Contextualisation of the case studies

In Mexico, there are 9,216 aquaculture production units, with a total of 115,207 hectares, of which the state of Sinaloa, located in the northwest of the country and with data as of 2011, had 727 aquaculture production units, with an extension of 37,992 hectares<sup>17</sup>. See figure 3 for the location of the object under study.





**Figure 1** Physical location of the group of companies studied: Ahome, Sinaloa, Mexico.

*Source: Own Elaboration*

Shrimp farming in Mexico, and particularly in Sinaloa, has focused since its inception on technical-economic aspects, and it is due to the large accumulated economic losses caused by viral shrimp diseases and the decapitalisation of a good number of companies in the social sector and private initiative, that the environmental issue has been included as a preponderant factor for the survival of the activity. Therefore, aquaculture is now considered as a combination of social, economic and environmental requirements.

In the economic dimension, shrimp aquaculture production has been a strong activity, generating foreign currency and a high volume of production, ranking among the first places at the national level in the fish trade balance<sup>18</sup>.

In the coastal strip of Sinaloa, 154 fishing communities are located, with a workforce of thousands of fishermen who are mainly dedicated to the exploitation of marine species, either by capture or aquaculture techniques. A significant number of families depend on the aquaculture activity<sup>19</sup>, either because they are members of an aquaculture cooperative or because they are workers of companies installed in their communities, which is why the activity has benefited the quality of life of the local inhabitants where they are settled.

With regard to the ecological dimension, the shrimp farming industry depends heavily on natural resources such as quality seawater and pathogen-free soil, which are essential elements for its production processes to be carried out properly and not cause disruption to the production activity itself and to the ecosystem to which it belongs.

### The aquaculture organisation and its internal and external stakeholders

The stakeholders that predominate in the internal environment of the shrimp farming organisations studied are: shareholders, managers and workers, most of whom come from the communities where they are located.

In the external environment, the following stakeholders can be distinguished as relevant and highly influential in the development of these organisations: their suppliers, because they provide information and financing to the farms; the natural environment, because of the high dependence they have on it in their production processes; the communities, because of the impact they can have on their way of life; the competitors (other producers who dispute or can dispute both the market and the local natural resources), their commercial partners, their consumers, the authorities, including the three levels of government, and the regulatory and support bodies that the same producers themselves dispute; Competitors (other producers who compete or may compete for both the market and local natural resources), their commercial partners, their consumers, the authorities including the three levels of government and the regulatory and support bodies that the producers themselves have created for their development, among them the State Committee for Aquaculture Health in Sinaloa (CESASIN), a body created by the federal government and directed by the aquaculture producers themselves to address the health problems that have arisen. The research findings of the different cases studied are presented below, focusing on the variables community and natural environment, before describing the distinctive features of the groups of companies studied.

### Cases A, B and C.

Of the 15 cases studied, their Social Responsibility practices are classified into 3 groups, according to the characteristics and progress they show in relation to Social and Environmental Responsibility (see table 2).

Characterisation/Cases	Group cases A	Group cases B	Group cases C
Legal figure.	Society from production Society from liability limited.	Rural production company unlimited liability.	Cooperative Society.
Seniority from the farm.	8 years	18 years.	25 years
No. De has.	Start: 232 Current: 950	Start: 20 Current: 550	Start: 120 A 2007: 320 A 2013: 130
Shareholders.	Family business.	Private equity	Ejidatarios: 75 members.
Training of decision-maker.	Degree in Biology.	Bachelor's degree in biology.	The decision is collective and its education is basic. The responsible of the farm has a degree in biology.
Feature distinctive feature.	Leaders in the use of new technologies. Risk takers. Constant experimentation. Activity managers.	Trend from Growth sustained. Cautious. Leader in the use of new technologies. Experimentation when are problems arise problems of health. Practise the cooperation inter-organisational cooperation.	Relationship cooperative intra-organisational. Social sector. System of production production system.
Knowledge on CSR topics and the Development Development.	They start in the process of recognition of the issue of CSR and Sustainability as element key element that can be strategic for the organisation. They have the good good practices aquaculture.	They start with awareness and recognition of CSR and the Sustainability as concepts; no however, at its practices there are important important elements implicit from approach to the subject. They have started with the process of "Good practices aquaculture with the aim to be certified.	No have considered issues in their strategy. Without however, they care for the environment to where they is possible; they know that they have a high dependence on water and soil quality for their development of their productive productive activity.

**Table 2** Profile of Aquaculture Organisations studied: A, B and C.  
*Source: Own Elaboration*

The group of companies analysed were born with similar or the same legal status, developed in the short term, similar operational features, however, in the medium and long term, some of them have modified and implemented aquaculture practices that have allowed them to have significant differences in their results.

Group C is a pioneer not only in the locality, but also in the country, in the implementation of shrimp aquaculture practices. In the first years of production it was a bonanza thanks to the environmental conditions and the ways in which decisions were made in the cooperative; it was an exemplary cooperative organisation in its first 18 years of operation. However, with the passage of time, and by not following technical specifications for the safety of production and continuing to produce in the traditional way, they began to have substantial losses due to sanitary problems caused by viruses, losing the entire production. Note the number of hectares of production with which they started (120 hectares), reached 2007 with a significant growth (320 hectares), and in 2013 there was a considerable loss in the number of hectares of production (130 hectares). It is worth mentioning that in 2014, the group is thinking of selling or renting the aquaculture farm due to its unsustainability.

Group B has its origins in cooperative societies, however, they are producers who decided to become independent and are long-term success stories. Therefore, their willingness to inter-organisational cooperation and recognition in the community.

Group C. is the group of farms with the least seniority but with impressive growth. Their managers are young, which is perhaps why they are more risk-taking in business, in entering new markets, in implementing new technologies and in continuously informing themselves and seeking knowledge for the development of their business. In tables 3 and 4 below, the aim is to provide an approach to the general indicators that could regulate the shrimp farming activity, as a result of the research carried out. The general indicators shown are taken and adapted from the GRI and the Best Aquaculture Practices certification standards, adapting them to the local context and bringing them into line with international requirements in the dimensions studied: environment and community.

The objective is to be able to identify, group and compare levels of progress in the practices carried out by the aquaculture organisations; and also to be able to identify, with the help of Zadek's proposal, the level of organisational learning in which the cases studied are found.

The group of companies B and C, have their origin as aquaculturists in the community, so their commitment to it is implicit in their daily practices, however, they do not have a strategic plan for social and environmental responsibility. The group of companies A was born as a business opportunity, taking advantage of the accumulated experience of their managers in aquaculture practices in other leading organisations in the locality, so the company-community relationship is incipient; this group has focused mainly on the technical-economic-environmental elements, which will be seen in greater detail in table 4, due to the aquaculture practices they carry out. However, this is a group that is already considering including community development support issues in their practices.

General indicator	Cases Group A	Cases Group B	Cases Group C
Emissions y discharges.	They pour the water into the estuary sea water to the estuary at once it has been used. They test the water quality water quality tests at the inlet and outlet of the process production process. They carry out good practices aquaculture practices that are reflected in the quality of the water they they discharge, comes out with higher nutrients.	Pour the seawater once used. No do test the quality of the water quality at the outlet.	Pour the seawater once used. No do test the quality of the water quality at the outlet.
Waste.	Kitchen: garbage rubbish local. Ecological toilets. Fuel. They have with infrastructure for prevent any spillage. Oils and lubricants are not	Kitchen: collector from waste collector. Ecological toilets. Fuels. See has with infrastructure in place for prevent spills. Oils and lubricants. Are	Kitchen: collector from rubbish collector. No toilets. Fuels and lubricants. A collector goes through the waste at a period period.

	are not handled on the farm, the supplier is responsible.	stored at the farm. A collector goes through the waste at a period period.	
Respect a the biodiversity	They have excluders.	They do not have excluders..	No excluders.
Water use	Seawater is used, not consumed. consumed. At the process production process it is cared for and treatment water to maintain or increase its quality. Water is returned to to its environment in a condition for to be reused.	Seawater is used, is not consumed, it is returned to its once the production process production process. Drinking potable water is used for and the kitchen, and once used, it is once used, it is discharged into the water drainage system. drain. The volume is not the volume. The purified water is used for drinking and cooking.	Seawater is used, not consumed, it is returned to its to its environment once the production process.
Energy use	The largest energy consumption is the fuel used in engines for pumping water on farms. Their strategy is to to do less water replacement water to decrease the fuel consumption.	The largest energy consumption is the fuel used in engines for pumping water on farms. No there is implemented a strategy in place to reduce energy consumption.	The major consumption of energy consumption is the fuel used on engines for pumping water on farms. No there is no implemented a strategy is not implemented for decrease energy.

Table 4 Environmental dimension  
Source: Own Elaboration

The company-environment relationship is a difficult issue for shrimp farming companies, especially in 2013, a year in which the industry suffered a huge setback due to the appearance of new diseases such as the so-called "early disease", which was not considered for treatment in the biosecurity protocols that local producers had been implementing. These new shrimp diseases have led to a significant drop in productivity and competitiveness and probably to the cessation of a significant number of companies. This is the case of CASE Group C (see table 2), where we can see the reduction in the number of hectares under cultivation due to the appearance of new viruses, new crustacean diseases and accumulated losses.

**In relation to CASE Group A, these are farms that, as one of their managers said**

"For us, the appearance of viruses and diseases in shrimp have been opportunities to improve and grow". This can be seen in the strategies they have implemented over time, and not only to achieve the survival of shrimp, but also to increase their productivity and competitiveness in national and international markets.

It is a group that is currently a leader in the management of its biosecurity protocols and in productivity (see table 4) and the key for them has been to bet on innovation and new technologies; it is a group, as mentioned at the beginning, that takes risks.

In CASE Group B, it is a group of farms that owe their constant growth to continuous experimentation in production processes, which has allowed them to identify key elements to increase productivity and competitiveness with crop health. They are managers who share experience and learning with and among their specialised staff, in addition to the close relationship they have with other local producers. As can be seen in Table 4, these farms are on the way to Good Aquaculture Practices certification; however, they recognise that support is needed for other aquaculture stakeholders, mainly in terms of specific legislation for shrimp farming, its regulation and enforcement.

In the CASE of group C, their managers recognise the importance of environmental care, however, they do not have the necessary resources to apply the organisational learning they have had over the years on sanitary and environmental issues. As of 2013, they are among the farms that have suffered from decapitalisation due to the lack of sanitary control and viral problems.

With the findings presented here and trying to diagnose the level of organisational learning that companies go through in terms of social and environmental responsibility, as argued by Zadek (2004), the following is summarised in Table 5:

Dimensions analysed / groups of cases	Group A	Group B	Group C
Dimension social: communities	Stage compliance	Stage of management.	Stage strategic
Dimension environmental.	Stage stage.	Stage of management.	Not applicable. No are in the defensive defensive, and comply to the to the extent of their capacity capacity allows.

**Table 4** Organisational learning of the cases analysed in terms of social and environmental responsibility  
*Source: Own Elaboration*

As can be seen in Table 5, the different cases studied are at different levels of progress in organisational learning for the implementation of responsible practices. The case of Group A shows greater progress in the environmental dimension than in the social dimension: communities; for them, the environmental dimension has been strategic for the development of the business, so that as mentioned above, their success lies in innovation and technological development in their production processes and the growth of their staff with the required labour competences, including good working conditions.

For CASE Group B, organisational learning in both the social and environmental dimensions is in the management stage. The group is introducing social issues into its core management processes as a strategic element for the operation of its farms.

It is important to mention that for this group, the practices carried out for the company-community rapprochement are implicit, due to the close relationship they have maintained throughout the development of the activity; there is evidence that the community takes care of the business because they consider it an instrument for their local survival.

It should be remembered that this is the group that has shown a sustained growth trend (approx. 22%) throughout its 18 years of productive activities.

CASE Group C, recognises that it is essential to carry out good aquaculture practices because of the impact this can have on the environment and on the actors that depend on the ecosystem itself. This group is in a stage of compliance in some indicators of the environmental dimension, such as the agreed local regulations, and complies with the control of some of the waste they manage, but in the rest of the indicators, they are not complying with the minimum required by the regulatory bodies of good aquaculture practices, and not because they do not wish to comply, or are in a defensive stage of denial of the attacks, but because they do not have the resources to do so. In relation to the social dimension: community, this is an issue that is integrated into their core business strategy, precisely because their main objective as an organisation is social benefit.

### Preliminary conclusions

In the aquaculture organisations studied, social and environmental responsibility practices have been identified in relation to workers, the community and the environment. However, in most of the interviewed producers there is minimal knowledge about CSR.

Levels of organisational learning and maturity on CSR were identified, which vary from farm to farm and from one dimension of analysis to another. This is the result of a complex learning journey between the organisational and the social; a journey that they have made sometimes alone and sometimes together with other producers, complementing each other, discussing, sharing information and finding ways to better develop their work, which in some cases, have not given the adequate or expected results.

The case studies found farms at a level of organisational learning ranging from the compliance stage: "We will do only what we are obliged to do" and "We make sure we don't do what we agreed not to do"; to the management stage, where organisations have already realised that these are or will be long-term problems if not addressed, and that they must ensure that the business takes responsibility for the problem and the solution presented.

Producers recognise that they have limitations to their development, directly related to the way they carry out their aquaculture practices and that their main problem has been the sanitary problems caused by viruses over time; and the lack of awareness of producers for viral control and environmental care; as well as the lack of adequate regulatory laws and protocols and/or the application of existing ones.

It is considered relevant to continue studying the practices of social and environmental responsibility of the same industrial sector, in order to be able to provide more elements of analysis to the organisational scientific discussion and to contribute to the resolution of common local problems of the aquaculture industry.

130

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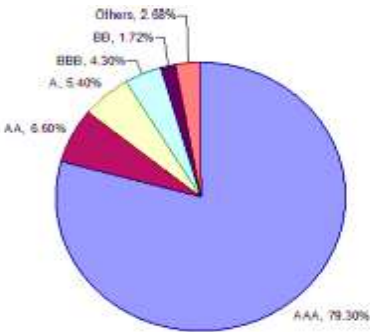


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