

To cite this output:

Kleine, D, Bartholo, R, Ariztia, T, (2014) Leveraging Buying Power for Development - Ethical consumption and public procurement in Chile and Brazil
ESRC End of Award Report, RES-167-25-0714. Swindon: ESRC.



ESRC End of Award Report

For awards ending on or after 1 November 2009

This End of Award Report should be completed and submitted using the **grant reference** as the email subject, to reportsofficer@esrc.ac.uk on or before the due date.

The final instalment of the grant will not be paid until an End of Award Report is completed in full and accepted by ESRC.

Grant holders whose End of Award Report is overdue or incomplete will not be eligible for further ESRC funding until the Report is accepted. We reserve the right to recover a sum of the expenditure incurred on the grant if the End of Award Report is overdue. (Please see the ESRC Research Funding Guide for details.)

Please refer to the Guidance notes when completing this End of Award Report.

Grant Reference	ES/I033904/1		
Grant Title	Leveraging Buying Power for Development - Ethical consumption and public procurement in Chile and Brazil		
Grant Start Date	1 Oct 2011	Total Amount Expended:	£327,798.38 total (£281,846.62 ESRC)
Grant End Date	31 August 2013		
Grant holding Institution	Royal Holloway, University of London		
Grant Holder	Dr Dorothea Kleine		
Grant Holder's Contact Details	Address	Email	
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		Telephone 01784 27 6223	
Co-Investigators (as per project application):		Institution	
Prof Roberto Bartholo		Universidade Federal do Rio de Janeiro	
Dr Tomas Ariztia		Universidad Diego Portales, Santiago de Chile	

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1. Non-technical summary

Please provide below a project summary written in non-technical language. The summary may be used by us to publicise your work and should explain the aims and findings of the project. *[Max 250 words]*

The ESRC-DFID Choices project explored how the buying power of the individual and the state can be used as a lever for sustainable development. The project explored what Chileans and Brazilian understand by “ethical consumption” and what criteria they want their state to use when making buying decisions in their name. An interdisciplinary academic team based in 3 countries (UK, Chile, Brazil) collaborated with 3 campaign NGOs (one in each country).

16 focus groups and large-scale surveys in each country showed that while the term “ethical consumption” was not used, many Chileans and Brazilians claim to be using environmental and social criteria as well as price when making their individual shopping decisions. Further, there was strong support for the notion that the state should be using not just economic, but also social and environmental criteria when buying goods and services in the name of taxpayers. Criteria most endorsed in Chile were “energy efficiency”, “environmentally friendly (certified)” and “decent labour conditions (certified)”. In Brazil, the most endorsed criteria were “no animal cruelty”, “energy efficiency” and “environmentally friendly (certified)”.

The project has been invited to support efforts at UN level to develop standards which will ensure that there can be fair competition for public tenders not just on price, but also on social and environmental criteria. More and more countries are using such criteria, creating a market shift towards sustainable development.

For more information, visit the project website: www.sustainablechoices.info

2. Project overview

a) Objectives

Please state the aims and objectives of your project as outlined in your proposal to us. *[Max 200 words]*

The overall research aim was to examine whether and to what extent ethical consumption and sustainable public procurement could be used as a new lever for development.

The academic aims were to find answers to these specific research questions:

- 1) How is “ethical consumption” constructed, in discourse and practices, in Chile and Brazil?
- 2) What evidence of attitudes and behaviours towards ethical consumption is there in

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Chile and Brazil?

- 3) What criteria do citizens expect the state to use in public procurement?
- 4) How do the systems for public procurement operate in Chile and Brazil?
- 5) Do the offline and online public procurement systems allow “ethical criteria” to play a role in decision-making?
- 6) How do levels of individual ethical consumptions, citizens’ expectations of state buying behaviour, and current procurement practices match up in Chile and Brazil?

Further, the project had the following impact objectives:

- 7) Communicate findings to policy-makers and the public.
- 8) Work on raising awareness for ethical consumption within the culturally specific public discourses.
- 9) If the data supports it, lobby for changes in procurement policies so that they better reflect the criteria people use in their own consumption choices or want the state to use.

b) Project Changes

Please describe any changes made to the original aims and objectives, and confirm that these were agreed with us. Please also detail any changes to the grant holder’s institutional affiliation, project staffing or funding. *[Max 200 words]*

Original objectives remained unchanged.

The survey questions which were meant to “piggy-back” on a nationally representative survey in Brazil were ready at the time specified but there was a delay, from July 2012 to September 2012, until the partner organisation Instituto Akatu succeeded in raising the funds to run the national survey. However the results were ready in time for our crucial dissemination workshop with policy-makers in Rio in Dec 2012.

We experienced a high degree of public, policy and academic interest in our findings, including invitations to the UNEP Global Sustainable Public Procurement Initiative (SPPI) meeting (Paris, January 2013), the UN World Summit on the Information Society (Geneva, May 2013, UNCTAD panel) and sessions at the Royal Geographical Society’s Annual Conference (Aug 2013). To take advantage of these dissemination opportunities, we agreed with ESRC a cost-neutral project extension from 31 March 2013 to 31 August 2013.

Thanks to our tight budget control, we were able to afford an additional dissemination product: a short 2-minute animated (“cartoon”) video (in Spanish and Portuguese) which sums up one main finding as a hook for the general public to find out more via the project blog and get involved in discussions.

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c) Methodology

Please describe the methodology that you employed in the project. Please also note any ethical issues that arose during the course of the work, the effects of this and any action taken. [Max 500 words]

The Kick-off workshop (Nov 2011) in Santiago brought together the project team to produce a joint detailed project plan and research design. Discussions on terminology took place, in particular on the terms “conscious”/”sustainable”/”responsible” and “ethical” consumption. The team decided to only agree a working definition of ethical consumption at this point. The trilingual (English, Spanish, Portuguese) project blog www.sustainablechoices.info was launched; it now includes 57 blog entries and links to all research outputs. In December 2011 meetings took place in Chile and Brazil introducing the project early on to key policy-makers.

Meanwhile, from Nov 2011 - Feb 2012 the teams in Chile and Brazil conducted desk studies reviewing existing research on ethical consumption in Chile and Brazil. Two reports were published and launched. Further, a policy analysis of ethical procurement policy in Chile and Brazil was undertaken and two reports published on this.

Between March and June 2012, 32 Focus Groups (16 in each country: 87 participants in Brazil, 92 in Chile) were conducted. The main criteria used to recruit focus group participants were gender, socioeconomic background, age and urban/rural location, in order to tap into a diversity of views. Purposive sampling combined with snowball sampling was used.

Based on the data from focus groups, the team from three countries agreed on the questions to be included in large-scale representative surveys. In Chile, the representative survey was conducted by UDP. The survey covered a sample size of 1295 respondents. In Brazil, Akatu conducted the survey (with GfK) with a representative sample of 800.

In December 2012 we hosted two key dissemination workshops in Rio de Janeiro, a public one with NGOs (which was filmed) and a separate one with policymakers. We presented data from focus groups and surveys. Policy-makers who attended included representatives from the Brazilian Ministries of Planning and Budget, of Environment, and of Agriculture. From Chile, policy-makers from the Environment Ministry and from the State E-Procurement system Chilecompra attended. We collected video-clips in which NGO representatives and policy makers offered their thoughts on the workshop and reflected very positively on the contribution of the workshop and our findings to their own thinking.

The NGO workshop included a mentoring session in which Rob Harrison, editor of *Ethical Consumer Magazine* and co-founder of the established and highly successful UK campaign NGO ECRA offered advice to all attendees on how to use research data in public campaigning.

Apart from presenting 10 papers at academic conferences so far, we have continued our dissemination to audiences beyond academia. Throughout, but particularly since December 2012, we have worked on a joint dissemination strategy for our findings with partners

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Ciudadano Responsable (CR, Chile) and Akatu (Brazil), both the leading NGOs in ethical consumption. For example, the Brazilian national newspaper *Globo* has twice reported on the project. Thanks to tight budget control we had money left and were able to commission a short 2 minute animation cartoon illustrating 1-2 key findings and a link to our blog. Dissemination and impact efforts are ongoing.

d) Project Findings

Please summarise the findings of the project, referring where appropriate to outputs recorded on the ESRC website. Any future research plans should also be identified. [Max 500 words]

- 1) As our two reports on consumption and our papers show, ethical consumption is not a term which focus group participants in Brazil and Chile recognised. Instead, there were references to “conscious consumption” in Brazil and to “responsible consumption” in Chile. Our focus group data showed a strong emphasis on thrift, on health and family well-being. We detected as a key group a “transition generation” of young adults who were the first generation in their families to go to university. These combined 1) parental narratives of thrift, 2) critical observations on consumerism, including international environmental discourses they had been exposed to during their studies, and 3) some disposable income to buy according to their values.
- 2) The focus groups yielded rich data on attitudes and reported behaviour. Further, the survey data showed that at least as far as reported attitudes are concerned, there is evidence of ethical consumption in Chile and Brazil (for example, in Chile 81.2% agreed with the sentence “I can contribute to creating a fairer society through my purchasing decisions”).
- 3) Systems for public procurement operate differently in the two countries (see our two reports on procurement and a forthcoming paper). In Chile there is a more standardised approach, with the agency which runs the online public procurement system Chilecompra issuing guidance notes to all state entities which cover only energy efficiency as a potential environmental criterion. In Brazil, there is stronger state support for social and environmental criteria, however with the larger size, and federal and state levels, the implementation picture is more complex. In both countries, online procurement systems play a key role and could be adjusted to allow for sustainable public procurement.
- 4) There was great public support in both countries for using social and environmental criteria in state procurement. Criteria most endorsed in Chile were “energy efficiency” (81% of support), “environmentally friendly (certified)” (80%) and “decent labour conditions (certified)” (78%). In Brazil, the most endorsed were “no animal cruelty” (89%), “energy efficiency” (88%) and “environmentally friendly (certified)” (87%) [NB: social desirability means that the comparative trends are

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more reliable than the absolute figures]. Interestingly, citizens expected their state to buy more “ethically” than they themselves did, especially on the following criteria “environmentally friendly” (Chile only), “buying from Chilean/Brazilian companies”, “buying from small- and medium-sized companies” and “buying organic” (all in both countries). As we argue in the forthcoming article for *Geoforum*, this suggests that there may be the possibility that, in the logic of the capabilities approach, citizens are better collectively than individually at making reasoned choices that support the lives that they have reason to value (Sen 1999).

- 5) Current procurement practices do not include any role for citizens to co-decide the criteria used when money is spent in their name. When asked whether citizens should have a say on criteria, Brazilians (72% support) were far more emphatic than Chileans (57% support). One reason for this could be Brazil’s well-developed and vocal civil society.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation. *[Max. 200 words]*

The project was part of the ESRC-DFID Poverty Reduction programme, falling under the thematic highlights of 1) Development in a Changing World and 2) Inequality and Development. Working on Brazil and Chile and discussing the in-country markets for fairly produced food and non-food items, we have contributed firstly, to the intended widening of the focus from poverty to also include inequality.

Secondly, we have contributed to the ESRC’s effort to establish research links with Brazil, one of the new focus countries (alongside China). The PI, Dr Dorothea Kleine, attended the ESRC’s Focus Group meeting on Brazil and Latin America on 8th Jan 2013 to share experiences and views of how partnerships could be built upon. This was an excellent opportunity to network and also to exchange ideas on good project partner communication routines.

Finally, we have pursued the ESRC supported drive towards impact beyond the academy. We have sought out media opportunities, and PI Kleine took part in the full-day ESRC media training for PIs in central London on 24th Oct 2013 which helped practice broadcasting skills. Finally, various members of the project have been actively engaging with the ESRC Press team (and the hashtag #ESRCDFIDPoverty) on twitter.

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3. Early and anticipated impacts

a) Summary of Impacts to date

Please summarise any impacts of the project to date, referring where appropriate to associated outputs recorded on the Research Outcomes System (ROS). This should include both scientific impacts (relevant to the academic community) and economic and societal impacts (relevant to broader society). The impact can be relevant to any organisation, community or individual. *[Max. 400 words]*

There were three innovative aspects to the research: 1) exploring attitudes to ethical/sustainable consumption in the global South, 2) linking individual consumption to collective consumption (here: public procurement) and 3) applying capabilities approach thinking (Sen 1999) to sustainable public procurement.

The first and second aspect were of interest to policy-makers; the academic community was interested in all three.

Academic impact: Researchers from the project presented 10 papers at key academic conferences, including the American Association of Geographers Annual Meeting (2 papers), the European Sociological Association conference, the Latin American Sociological Association conference, the Fair Trade International Symposium and the academic strand accompanying the UN Rio + 20 World Summit.

Based on our findings on middle class ethical consumption in Brazil and Chile we co-proposed a session on the “New Middle Classes in the global South” at the Royal Geographical Society’s Annual Conference. The RGS Developing Areas Research Group recognised the pioneering nature of the topic by sponsoring the session and 14 paper abstracts were submitted. The interest in our paper was evidenced by an invitation to a forthcoming highly selective workshop on ethical consumption sponsored by leading journal *Geoforum*, with a view to produce a special issue.

The project attracted the attention of the European Society for Agricultural and Food Ethics. The PI was invited to give a keynote about the project at their 11th Annual Congress in Uppsala, Sweden, 13 Sept 2013.

An additional dissemination workshop in Chile attracted 100 attendees from policy and academia.

Data baseline creation:

Due to our project, in Brazil, the largest national ethical consumption survey (run since 2001 by Akatu) included questions on state (collective) procurement for the first time in 2012. In Chile, ethical consumption and state procurement questions were included for the first time together in a national representative survey.

Policy-impact:

Brazilian and Chilean policy-makers gave video-quotes after our dissemination workshop which document how useful our research is for their policy work.

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The project was seen as highly relevant by UN policymakers, especially from UNEP (invitation to Paris SPPI meeting) and UNCTAD (the United Nations organisation responsible for trade and development). UNCTAD invited the PI to present findings at the UN World Summit on the Information Society Forum in Geneva, on the panel “Promoting Local IT Sector Development through Public Procurement”, 16 May 2013. At this event there was great interest from policy-makers, especially from Brazil, Sri Lanka and South Korea.

b) Anticipated/Potential Future Impacts

Please outline any anticipated or potential impacts (scientific or economic and societal) that you believe your project might have in future. *[Max. 200 words]*

Academically, the project has the potential to a) further inspire research into ethical consumption and procurement to also consider the global South; b) be a landmark case study for the intensifying efforts to extend the capabilities approach to collective decision making.

Further, if the surveys we worked with continue to use our questions, the data baseline we created will turn into the first longitudinal data set covering attitudes to both individual and public (collective) “ethical consumption” in Brazil and Chile.

Since our policy-maker workshop we know that there is support from two ministries for including “green” criteria in public procurement in Chile. Brazil is more advanced in including social criteria. With the new government in Chile there may be the political will to implement social criteria. Our project can offer both data on how Brazil has integrated social criteria and data that shows that Chileans support using social criteria. Hoped-for impact: Chilean government to consider social impact criteria.

UNEP – We were the first academic members invited to UNEP SPPI and are part of a working group reviewing certification labels to standardise social impact criteria in order to mainstream these into public procurement. Hopefully several countries will implement these.

You will be asked to complete an ESRC Impact Report 12 months after the end date of your award. The Impact Report will ask for details of any impacts that have arisen since the completion of the End of Award Report.

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4. Declarations

Please ensure that sections A, B and C below are completed and signed by the appropriate individuals. The End of Award Report will not be accepted unless all sections are signed. Please note hard copies are **not** required; electronic signatures are accepted and should be used.

A: To be completed by Grant Holder

Please read the following statements. Tick **one** statement under ii) and iii), then sign with an electronic signature at the end of the section (this should be an image of your actual signature).

i) The Project

This Report is an accurate overview of the project, its findings and impacts. All co-investigators named in the proposal to ESRC or appointed subsequently have seen and approved the Report.	<input checked="" type="checkbox"/>
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ii) Submissions to the Research Outcomes System (ROS)

Output and impact information has been submitted to the Research Outcomes System. Details of any future outputs and impacts will be submitted as soon as they become available.	<input checked="" type="checkbox"/>
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or

This grant has not yet produced any outputs or impacts. Details of any future outputs and impacts will be submitted to the Research Outcomes System as soon as they become available.	<input type="checkbox"/>
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iii) Submission of Data

Data arising from this grant have been offered for deposit with the UK Data Service.	<input checked="" type="checkbox"/>
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or

Data that were anticipated in the grant proposal have not been produced and the UK Data Service has been notified.	<input type="checkbox"/>
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or

No datasets were proposed or produced from this grant.	<input type="checkbox"/>
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