FACTORS INFLUENCING THE SUCCESS OF
BUSINESS NEGOTIATIONS IN THE BRAZILIAN CULTURE

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ESC
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DECLARATION

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Rio de Janeiro, January 13th, 2016

Murillo de Oliveira Dias

DEDICATION

I dedicate this thesis to my family and real friends, without whom none of this would be possible.

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DECLARATION

I declare that this thesis is the result of my work. Where information has been derived from other sources, I confirm that this has been indicated in the document and fully and unambiguously referenced. Neither this thesis, nor the essential research work, has been previously submitted, in part or whole, to any university or institution for any degree, diploma, or other qualification.
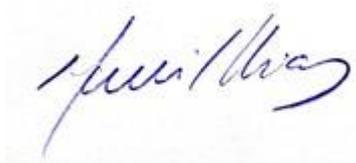
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Abstract

This study investigates the critical factors influencing business negotiations and acknowledges the evolutionary Trust and Social Value Orientation, within the Brazilian context. This research was accomplished through qualitative data collection and analysis methods, particularly using semi-structured Behavioral Event Interviews and Content Analysis. Twenty interviews were conducted with experienced Brazilian executives in negotiation, such as CEOs, presidents, board members, directors, and other managers. The analysis of our findings revealed that the interviewees perceived that prosocial orientation (cooperation) increased positive outcomes and decreased negative ones in a negotiation scenario. Conversely, the interviewees recognized proself orientation (competition) decreased positive outcomes and increased negative ones. They also perceived broken trust as one of the causes of failure in negotiations.

This work presents the newly developed Compelled-Based Trust which contributes to the field of research on Evolutionary or Transformative Trust. Additionally, it provides a Business Negotiation Conceptual Framework, which should be helpful in addressing issues in the Brazilian context.

Keywords: Negotiation, Trust, Social Value Orientation, Brazilian, business

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1. Introduction

1.1- Research purpose

The present research investigates Trust and Social Value Orientation, as factors influencing the successful Brazilian Business Negotiations.

The following business' negotiations situations were studied in the present work: buyer-supplier, joint ventures, business alliances, and company acquisitions negotiations.

This study is also limited to the number of the interviews conducted (See section 5.6). Early studies point individualistic differences, such as personality types, as unreliable factors in predicting a given negotiation outcome (Thompson, 1990). In fact, Lewicki & Litterer (1985) concluded, "It does not appear that there is a single personality type or characteristic that is directly and clearly linked to success in negotiation" (p.276). Thompson (1990) posits: "personality and individual differences appear to play a minimal role in determining bargaining behavior" (p.515). Barry & Friedman (1998) argue that the "few findings have proven replicable, and the contradictory findings are not uncommon" (p.345). Thompson (1990) also argues that the situational factors can easily change the way a negotiation is conducted, and the personality does not influence directly in the performance but influence the behaviors that influence the performance (Thompson, 1990). However, some authors posit: "the researchers may have closed the book on the effects of the individual differences on negotiation prematurely" (Lewicki et al., 1994, p.348).

Balliet & Van Lange (2013) argue: "Future research is necessary to examine more closely the various psychological perspectives about how beliefs about others motives interact with features of interdependence to affect cooperation" (p.17). Elfenbein (2013), suggests the use of qualitative approaches for future researchers: "one can hope that future literature reviews will make qualitatively different concluding statements" (p.41). Therefore, the present research gives the continuity to the previous researches in this field of science through qualitative research.

The very opposite occurs with the dispositional approaches, involving psychological states and traits such as Trust and Social Value Orientation (SVO). "Trust and cooperation constitute one of the most classic topics in the social and behavioral sciences" (Balliet & Van Lange, 2013, p.17). These subjects have been drawing a great deal of the researchers' attention in recent years, because of their significant impact on predicting negotiator's behavior and ultimately, the success or the failure of negotiations. For instance, the parties will decide to engage in a negotiation because they expect, at least, a positive outcome (Lewicki and Stevenson, 1998; Mayer, Davis & Schoorman, 1995). The parties also have social motivations to attain the best result on their side, rather than the entire group, or vice versa.

Trust is so influential that "whether one is a researcher or a practitioner, one can hardly discuss negotiation without mentioning it" (Kong, Dirks & Ferrin, 2014, p.1250). Trust is important to negotiators (Olekalns & Smith, 2005). According to Evans & Krueger (2014) regarding the future research on trust, the important "is to understand how trustors utilize the different forms of social information, and to examine how these cues interact with the structural aspects of the situation" (p.99).

Social Value Orientation is a strong choice on the distribution of the negotiation results that act as predictors of the negotiation outcome (Messick & McClintock, 1968; Murphy, Ackermann & Handgraaf, 2011). Therefore, both Trust and Social Value Orientation are essential factors investigated in the present research.

1.2 –Dispositional and situational approaches

The dispositional approach seeks to identify the inherent human qualities that lead to behavior: genetics, character, free will, the personality states and personality traits, among others. The word disposition comes from the Latin *dispositionem* (nominative *dispositio*), meaning literally "to set aside", but also "temperament, mood, the state of mind" (Online Etymology Dictionary, 2015). Therefore, the disposition is related to physical, and mental arrangements.[1]

The situational approach involves the factors outside actors (Zimbardo, 2008), such as the environment that affects directly a particular negotiation style. For instance, business negotiations regarding the Brazilian culture. Zimbardo (2008), also compared the dispositional approaches to medical health, and the situational approaches with public health, as follows:

> The dispositional approach is to the situational approach as a medical model of health is to a public health model. A medical model tries to find the source of illness, disease or disability within the affected person. By contrast, public health researchers assume that the vectors of disease transmission come from the environment, creating conditions that foster illness (Zimbardo, 2008, p.8).

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[1]The explanation comes from late XIV century, when English language associated temperament to 'astrological use of the word for "position of a planet as a determining influence" (Online Etymology Dictionary, 2015).

1.3 – Personality traits and personality states of mind

According to the Diagnostic and Statistical Manual of Mental Disorders (DSM), by the American Psychiatric Association (2003), Personality Traits are defined as the "enduring patterns of perceiving, relating to, and thinking about the environment and oneself" (APA, 2003, p.686). Personality traits are consistent characteristics in the individual behavior, such as envy, honesty, shyness, jealousy, among others. Personality traits are (a) more stable than the personality states throughout time; (b) directly proportional to the behavior and (c) to distinct individuals, different traits (APA, 2003).

On the other hand, personality states are temporary activation of a particular behavior (Kalat, 2011), and opposed to the personality traits. If one individual is shy, maybe will be for a long time. Therefore, shyness is an example of a personality trait. Personality states are less stable throughout time than personality traits. For instance, if one individual is angry, it is unlikely that the angriness will last for a long time. Therefore, it is a personality state. Trust is a psychological state, for example. One may trust a negotiator and simultaneously may not trust his or her partner in the same bargaining situation.

1.4 – Trust and Social Value Orientation

Trust is the willingness of one negotiator (trustor) to accept the intervention of another negotiator (trustee), regarding the positive expectations (Rousseau, Sitkin, Burt, and Camerer, 1998; Lewicki and Stevenson, 1998).

In this work, we studied only Trust among negotiators (Lewicki & Polin, 2013; Olekalns & Adair, 2013). Other types of Trust are not investigated here, such as: (a)Trust as a process (Khodyakov, 2007; Barber, 1983); (b) Institutional Trust (Khodyakov, 2007); (c)

Trust between intergroup' interactions (Serva, Fuller & Mayer, 2005); (d) Trust between

Institutions and Markets (Fukuyama, 1995); (e) Trust among Nations (Labonne & Chase,

2010); (f) Trust as a game (Evans & Krueger, 2014; Malhotra, 2004); (g) Trust and risk-

taking (Evans & Krueger, 2011); (h) Trust associated with Honesty (Lewicki & Hanke, 2012),

among others.

Trust is different from hope, although they have similar descriptions: both are (a)

dispositional factors; (b) positive outcome expectations; (c) future-oriented; and (d)

personality traits. The difference is that *trust* is a positive expectation directed toward a

person while *hope* regards a situation, circumstance or the world at large (Cantril, 1964;

Frank, 1968; Feldman and Snyder, 1999; Lewicki and Stevenson, 1998; Snyder et al. 2000).

The word hope comes from old German *hoffen* adapted to English in 13th Century as *hopian*

and later *hope*; that means "to wish for something" (Online Etymology Dictionary, 2015).

Social Value Orientation is a psychological trait that represents the dispositional

preferences and motivations for resource's distribution or allocation, regarding a common

situation (De Dreu & Van Lange, 1995). The principal assumption is "that people vary in

their motivation or goals when evaluating the different resource allocations between

themselves and another person" (Murphy, Ackermann & Handgraaf, 2011, p.771).

Griesinger & Livingston (1973) created a two-axis geometric framework of Social

Value Orientation, the outcome of the other (y-axis), vs. the outcome of yourself (x-axis), on

a two-dimensional plane (see Figure 1). The two authors devised a method based on Social

Value Orientation framework called the *Triple-Dominance Measure,* later improved by

Liebrand & McClintock (1988), with their *Ring Measure,* recently revisited and refined by

Murphy, Ackermann, and Handgraaf (2014, 2011), introducing the *Slider Measure*.

1.5 –Negotiation, bargaining table, business and successful negotiations

There is a large body of works involving Negotiation, defined as a "process of communication by which two or more parties seek to advance their interests or those of the persons they represent through an agreement on the desired future action" (Salacuse, 2003, p. 11). Duzert (2015) defines Negotiation as "an ethical and elegant process of rational and collaborative decision making aimed at mutual benefits" (Introduction, paragraph 1). We define negotiation as a social interaction process, which involves two or more persons, regarding their interests, identity, and cognition, and dedicated to reaching an agreement over the substance negotiated through mutual gains.

Bargaining is a term often associated with negotiation. Bargain comes from old French *bargaignier* "to haggle over the price" (Online Etymology Dictionary, 2015). In this work, we followed Pruitt & Rubin (1986) and kept both terms interchangeable (p.2).

A bargaining table is defined here as the place where a negotiation occurs, not necessarily the furniture (Fisher & Ury, 1981).

Business is defined as "the activity of making, buying, or selling goods or providing services in exchange for money", or "work that is part of a job", according to the Merriam-Webster's online dictionary (2016). We kept both definitions in this work. We follow the definition of business research, as the "*academic* research on topics relating to questions that are relevant to the field of business and management and have a social science orientation" (Bryman & Bell, 2007, p. xxxiii). Therefore, we define business negotiations as the social interactions between two or more persons, regarding their interests, and dedicated to reaching an agreement on making, buying, or selling goods or providing services in exchange for money, or part of a job.

Successful is a negotiation in which the parties stop looking for alternatives (Fisher & Ury, 1981). According to Moore (1986), the negotiation may be considered successful if the three types of interests are accomplished: (a) substantive; (b) procedural, and (c) psychological interests (pp.321-322).

According to Curhan, Elfenbein & Xu (2006), there are four subjective dimensions in which negotiators use to evaluate their performance: (a) fairness; (b) self-esteem; (c) satisfaction with their economic outcome; (d) satisfaction with the underlying relationship. These researchers devised the Subjective Values Inventory (SVI), using a 7-point Likert scale (Curhan, Elfenbein & Xu, 2006).

1.6 – Research Overview

The negotiations investigated here, as well as the personality traits, refer to the business negotiators' observable behavior, regarding activities within or without the workplace (as in visiting the company's client, for instance). For this purpose, we considered the negotiators at least with (a) five years of proficient experience in negotiations. They should be (b) older than 25, and hold (c) any level of education, (d) regardless the job positions (for instance, one interviewee is a director holding a Master degree while the other party is a sales manager undergraduate in Marketing). Therefore, the present research investigates successful Brazilian business negotiations within or without the workplace.

1.7 – Chapters' structure

The following Sections present an extensive literature review on the topics investigated, as well as the results of the research and the subsequent analysis of the

implications for the current research. The discussions about the findings and future research orientations are followed by the references that complete the present work.

Chapter two presents an extensive literature review of the current body of work, as well as the current theories that support explanations for the negotiation process, regarding its complexities, strengths, weaknesses, critical success factors, and pitfalls. We deepened the understanding of the concepts related, through an extensive and up-to-date literature review.

Chapter three presents the methodological and the philosophical aspects of this research. We also present the methods used, for instance, the Behavioral Event Interview (McLelland, 1961, 1973; Dailey, 1971; Spencer & Spencer, 1993), based on previous Flanagan's (1954) works.

Chapter four presents our findings and analysis regarding the subjects studied, comparing the existing theories, concepts, and implications related to all the topics investigated.

Chapter five presents the discussion and the interpretations of all findings and analysis described in the previous chapter. It also presents the study limitations, as well as the significance of this research. Finally, recommendations for negotiators involved in Brazilian business negotiations are disclosed.

Chapter six concludes this work, presenting lessons learned and future directions for researchers interested in this field of research.

SECOND CHAPTER

2. Literature Review

2.1-Introduction

This Section presents a comprehensive literature review that is the theoretical support of this study. Our topics require the investigation of four perspectives borrowed from different fields of research.The first is (a) Psychology, to explain how Trust (a psychological state) and Social Value Orientation (a psychological trait) are defined and interrelate respectively (Section 2.2). The second is (b) Psychometry, to understand how these two mentioned constructs are measured (Section 2.3). The third is (c) Game Theory, to understand Social Value Orientation and its two main factors: prosocial and proself (Section 2.4). Finally, (d) Negotiation, which is the backdrop for Trust and Social Value Orientation investigation, in the present chapter (Section 2.5).

2.2- The perspective of Psychology

Psychology is an important field of research that supports the topics here analyzed (Trust and Social Value Orientation). It is the "systematic study of the behavior and experience" (Kalat, 2011, p. 315). The word comes from Greek psychos meaning "mind" or "soul" and logos meaning "word" (Online Etymology Dictionary, 2015).

2.2.1- Psychological traits, environment, and behavior

Previous studies on the behavior, relate an integral relationship between *nurture* and *nature* (Lewin, 1936 [2013]). Kurt Lewin, the Prussian psychologist, known as the "founder of Social Psychology" coined his theory of group dynamics, derived from the equation, in which a given behavior is directly proportional to a person and the environment that he or she lives:

$$B = f\,(P,E)$$

The behavior *(B)* is the result from the interaction between the Person *(P)* and the Environment *(E)*. On *Principles of Topological Psychology,* Lewin (1936), who invented the group dynamics to rehabilitate traumatized soldiers after the World War II, described how the environment affected the person: "the environment is closely connected to the state of the person. Fatigue seems to produce an instability not only of the person but also of the psychological environment" (Lewin, 1936, p. 254).

Another significant contribution of Cattell's (1965 [2007]) is related to the behavioral response to personality traits and stimulus. *Personality traits* "tells what a man will do when placed in a given situation" (Cattell, 1965 [2007], p. 25). According to Cattell, the magnitude of a behavioral response (R) varies directly proportional in function with two factors: stimulus (S) and personality (P), or

$$R= f(S,\,P)$$

In other words, if a personality trait is known, a behavioral response is known too (Cattell, 1965[2007], p.25). Kassin (2003) defined personal traits as the habitual patterns of behavior, emotion and thoughts.

According to McLelland (1961), a personality trait is a way a person responds to stimuli. It is important to observe that identical stimuli to different personality traits produce distinct behaviors. Therefore, the object of the present research is to investigate the importance of Social Value Orientation as a personality trait. Other examples of personality traits are, not limited to: (a) extraversion; (b) openness to experience; (c) conscientiousness; (d) agreeableness; (e) neuroticism; (f) self-esteem; (g) harm avoidance; (h) novelty seeking; (i) perfectionism; (j) alexithymia, or inability to express emotions; (k) rigidity; (l) impulsivity; (m) disinhibition; (n) psychoticism, or aggressiveness and interpersonal hostility, and (o) obsessionality.

Gordon Allport (1897-1967) was the researcher who gave birth to *Trait or Dispositional Theory,* which identified three types of personal traits, also called dispositions: (a) *cardinal traits*, dominant traits that respond mostly to the individual's behavior; (b) *central traits*, characteristics common to every person, such as honesty/dishonesty, for instance, and (c) *secondary traits*, characteristics found in some special circumstances only, such as a preference for one type of coffee, or a color, for example. He described genotypes as individual's internal forces, and phenotypes as the external forces that drive the personality traits, indicating how an individual retains information and how the external factors influence the individuals, respectively (Allport, 1954).

The Austrian psychologist Fritz Heider (1896-1988), elaborated the *Attribution Theory*, which emphasizes internal and external attributes, as explanations for success or the failure. While the internal attributions (also known as the dispositional attributions) are restricted to personality traits, such as honesty, the external attributions (also known as the situational attributions), are based on situational events (Heider, 1958).

Some individuals tend to ascribe success to internal, the dispositional factors while the failures are justified by external, situational factors (Ross, 1977). For example, if a student passes in a given exam, then the student will explain that his success is based on his effort, hard work, diligence, ability (internal, the dispositional factor). If the same student fails the exam, then the causes cited by him are difficult or unfair questions (external, situational factor).

The fundamental attribution error is called *correspondence* or *self-serving bias*, occurs when the individuals place emphasis on internal attributions to a given behavior, even when there is clear evidence of the external influence on such behavior (Campbell & Sedikides, 1999; Ross, 1977).

On the other hand, the fundamental attribution errors may be influenced by the culture (Kalat, 2011, p. 468). In other words, the individuals from the different cultures may perceive the same event according to their interpretation of the reality, based on their culture that may be distinct from another culture. Since we are studying the Brazilian culture in the present work, attribution theory and the fundamental attribution threw more light on the understanding of perceptions regarding the Brazilian context, when compared to other countries. See table 1 for Trait, Attribution and Correspondent Inference Theories.

Table 1

Trait (dispositional), Attribution and Correspondent Inference Theories.

Theory	Trait or Dispositional Theory	Attribution Theory	Correspondent Inference Theory
Author(s)	Gordon Allport (1961)	Fritz Heider (1958)	Jones & Davis (1965)
Dispositional approach	Personal Traits: a.cardinal b. central c.secondary	Internal/Dispositional Attributes	Success = internal/dispositional factors
Situational approach	-	External Attributes	Failure = external factors

Adapted from Allport (1961), Heider (1958), Jones & Davis (1965).

2.3- The perspective of Psychometric approaches

In this Section, we present: Social Value Orientation in early researchers (Section 2.3.1); Social Value Orientation Measurement and the Slider Measure Test (Section 2.3.2); the Ring Measure (Section 2.3.3); the Triple-Dominance Measure (Section 2.3.4); Social Value Orientation Slider Measure (Section 2.3.5), and the Trust Measurement (Section 2.3.6).

Psychometrics is an important field of research, which is useful to understand trust and Social Value Orientation constructs, how they built and measured. The objective here is to provide an explanation of these factors.

Psychometrics is the field of Psychology concerned with the psychological measurement. Psychometrics can help professionals "to reflect on their behaviors, preferences, and styles, and by so doing deepen their self-awareness and thus provide an opportunity for coaches to change or develop their styles" (Passmore, 2012, p.7). It encompasses intelligence, achievement, aptitudes, and the personality traits, among others.

Achievement is related to the individual's knowledge based on past learning. A*ptitude* is, in opposition, related to the individual's capacity for learning or acquiring a new skill in the future. For instance, if the intelligence is investigated in conjunction with achievement and aptitude, therefore, it is called human ability (Kaplan & Saccuzzo, 2009).

The psychological assessments are standardized measures of a given amount of psychological factors. These attributes on individual behaviors can include personality, career interests, values, motivational needs, and cognitive ability (Passmore, 2012).

Prior psychological standardized instruments, destined to measure personality traits, include: Rosenberg Self-Esteem Scale, General Self-Efficacy Scale (GSE), Ego-Resiliency Scale, Dispositional Resilience Scale (DRS), Hope Scale, Life Orientation Test-Revised (LOT-R), Satisfaction with Life Scale (SWLS), and the Positive and Negative Affect Schedule (PANAS). Other standardized instruments widespread, include the Metropolitan Achievement Test (MAT), the Standardized Application Test (SAT), used mainly in the North America, the American College Test (ACT), the Graduate Record Examination Aptitude Test (GRE), the Law School Admission Test (LSAT). The ability instruments, such as the Raven Progress Matrix (RPM), the Goodenough-Harris Drawing Test (G-HDT), and the General Aptitude Battery Test (GATB). The ASVAB - Armed Services Vocational Aptitude Battery, was addressed to the military. For the negotiation and conflict management, the Self-reported Inappropriate Negotiation Strategies Scale (SINS), and Thomas-Kilmann Instrument (TKI). Social Value Orientation's measurement instruments include the Triple Dominance Measure (TDM), the Ring Measure (RM), and Social Value Orientation Slider Measure (Kalat, 2011; Murphy, Ackermann & Handgraaf, 2011; Van Lange, Otten, De Bruin

& Joireman, 1997; Thomas & Kilmann, 1974; Liebrand &, McClintock, 1988; McClintock

and Allison, 1989; Griesinger & Livingstone, 1973).

2.3.1- Social Value Orientation: Early researchers

Social Value Orientation was influenced by Blake & Mouton's (1964) seminal works,

investigating the manager efficacy in the organizational context. Their contribution known as

the managerial grid examined two major dimensions in that organizations were related to (a)

concern for production - performance orientation and (b) concern for people - social

orientation (Blake & Mouton, 1964).

Thomas & Kilmann (1974), influenced by Blake & Mouton's (1964) previous studies,

investigated both assertiveness and cooperativeness modes of dealing with conflicts, resulting

in an instrument called Thomas-Kilmann Instrument (Thomas & Kilmann, 1974) that presents

the five conflict management modes or dimensions: (a) accommodating, which is unassertive

and cooperative; (b) competing, which is assertiveness and uncooperative; (c) collaborating,

which is assertive and cooperative; (d) avoiding, which is unassertive and uncooperative and

(e) compromising, which is intermediate in both assertiveness and cooperativeness (Thomas

& Kilmann, 1974; Thomas & Gail, 2002). TKI is, therefore, a measurement instrument based

on 30 questions with two multiple-choice answers, widely used in negotiation training and

commonly used as a psychological assessment tool, dedicated to revealing the bargaining

styles (Shell, 2001).

According to Rubin & Brown (1975), conflicts are "a perceived divergence of interest,

or a belief that the parties' current aspirations cannot be achieved simultaneously" (p. 4).

Recent research has demonstrated trust as an important factor related to conflicting interests, especially when the relationship is interdependent, i.e., each party depends upon the actions of the other party (Balliet & Van Lange, 2013), as follows:

> In situations containing larger amounts of conflict, people think about the other's benevolent motives and condition their cooperation based on those beliefs, but such cognitions become less important for cooperation in situations containing less conflict (Balliet and Van Lange, 2013, p. 2).

Pruitt & Rubin (1986), devised the Dual Concern Model to provide strategies to face dyadic conflicts. The Dual Concern Model has two elements: the concern for one's outcome and the concern for the other side's outcome. Strategies are adopted and therefore, implemented according to the emphasis that the negotiators put on their or the others' outcomes. The past and present researchers drew a great deal of attention in how to encourage the parties, moving from inaction to problem-solving, and promote mutual gains instead of maximization of one or the other player's utility. The Dual Concern Model predicts a party's strategy. Pruitt & Rubin (1986) argued: "for a strategy actually to be adopted, it must also be seen as minimally feasible; if not, another strategy will be chosen, even if it is less consistent with the current combination of concerns" (p. 35).

The Dual Concern Model inspired later works such as the Ring measure (Liebrand & McClintock, 1988; McClintock and Allison, 1989). Also the Triple-dominance measure (Van Lange, Otten, De Bruin & Joireman, 1997). Finally, the Social Value Orientation Slider measure (Murphy, Ackermann & Handgraaf, 2011), for instance.

2.3.2- The Social Value Orientation Measurement and the Slider Measure Test

The notion of self-interest is central to the Rational Choice Theory, in which "people vary in their motivations or goals when evaluating the different resource allocations between themselves and another person" (Murphy, Ackermann & Handgraaf, 2011, p.771). Social Value Orientation is also a

> Continuous construct, as it corresponds to the quantity of how much a DM is willing to sacrifice to make another DM better off (or perhaps worse off). This quantification of interdependent utilities can best be represented on a continuous scale. (Murphy, Ackermann & Handgraaf, 2011, p.772).

Messick & McClintock (1968) conceptualized Social Value Orientation, presenting the following Social Value Orientation construct, regarding a utility function:

$$U\,(\pi_s,\,\pi_o) = a\,.\,\pi_s + b.\,\pi_o$$

Where π_s is the self's outcome, π_o is the other's outcome, a and b are parameters that players weigh their allocations $= a$, and the others' allocations $= b$ (Messick & McClintock, 1968).

Griesinger & Livingston (1973) conceived the first Social Value Orientation framework, called Social Value Orientation ring (see Figure 1). Thomas & Kilmann (1974) devised the TKI. Rubin & Brown (1975), presented the Dual Concern Model (both separate the negotiators in two dimensions, the self *vs.* the other). De Dreu, Weingart & Kwon (2000) found, after empirical studies that, in fact, there are two independent dimensions. All Social Value Orientation constructs (the Ring Measure, the Triple-Dominance Measure, and lately

Social Value Orientation Slider Measure), refer to these two dimensions, the self and the other on a Cartesian *XY* axis (De Dreu, Weingart & Kwon 2000; De Dreu, Beersma, Stroebe, & Euwema, 2006).

An individual's social orientation is known as *prosocial* when the total gains reach 45 degrees upward *x*-axis (cooperation) and *proself* when to reach 45 degrees downward *x*-axis (competition). Social Value Orientation ring also presents altruistic or individualistic choices. Game Theory supports Social Value Orientation ring concept and based on a *decomposed game*, not proper a game (as discussed somewhere else in this work), known as *Dictator Game*, a dyadic game (in which only one player makes moves). One player is the *allocator*. The other player, the *recipient*, is supposed to accept or reject allocator's offer only. In Social Value Orientation case, the *allocator* plays alone, just figuring out a conditional distribution between allocator and recipient.

2.3.3- The Ring Measure

Liebrand & McClintock (1988) devised the *Ring Measure,* based on the previous studies of Griesinger & Livingston (1973). In this construct, one party (the allocator), has 24 pairs of resource allocations, say money, between the own allocator and the other party (the recipient), this time, an unknown player (in other words, the allocator plays alone, imagining an unknown opponent, the recipient). The outcomes are then grouped in outcomes, to the self on axis *x,* and outcomes to the other on axis *y,* and then converted into angle vector on Social Value Orientation ring, as depicted in Figure 1, as follows:
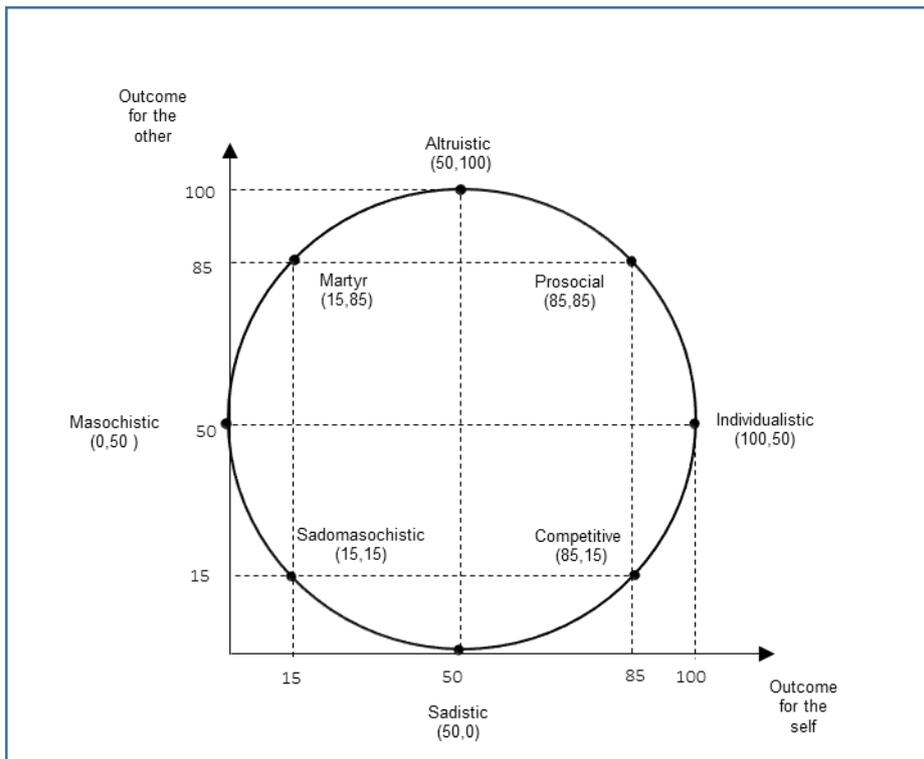
Figure 1. SVO Ring framework. Adapted from Griesinger & Livingston, 1973.

This vector's angle corresponds to a different Social Value Orientation following the equation:

$$\text{SVO Ring } \theta = \arctan \left(\sum P\,O \,/\, \sum P\,S \right)$$

Where $\sum PS$ is the sum of payoffs allocated to the self and $\sum PO$ is the sum of payoffs selected for the other subject. The vector's length from the center of the ring, say, x, y = (0, 0) depicted in Figure 1, indicates the strength and consistency of the decisions made. For instance, a shorter vector means an inconsistent choice. After arranging, tabulating and

processing the 24 options, a vector with suitable angle and length comes up. The vector's length evidence the consistency of a subject's choice. The vector's angle indicates the Social Value Orientation measure (Griesinger & Livingston, 1973).

There are eight Social Value Orientation codes possible: (a) altruistic (50,100); (b) prosocial (85, 85); (c) individualistic (100, 50); (d) competitive (85, 15); (e) sadistic (50, 0); (f) sadomasochistic (15, 15); (g) masochistic (0, 50); and (h) martyr (15, 85), as depicted in Figure 1. The choices are supposed to reveal a consistent pattern. The Ring Measure reveals not only social orientations but also pathological orientations, like items (e), (f), (g) and (h), as shown in Figure 1 (Griesinger & Livingston, 1973).

2.3.4-The Triple-Dominance Measure

The triple-dominance measure - TDM (Van Lange, Otten, De Bruin & Joireman, 1997), as well as the *Ring Measure* (Liebrand & McClintock, 1988), are based on the decomposed games (Messick & McClintock, 1968).

The triple-dominance measure presents a 9-items-questionnaire, which the subject is allowed to choose one among three alternatives (Van Lange, Otten, De Bruin & Joireman, 1997). There are two options: maximize oneself or mutual gains (Van Lange, Otten, De Bruin & Joireman, 1997). Therefore, the subject has its value orientation towards (a) cooperative/prosocial (b) altruistic (c) individualistic and (d) competitive/proself (Van Lange, Otten, De Bruin & Joireman, 1997).

a)   Cooperative (prosocial) orientation: in this case, the allocators try to maximize their gains as well as the other parties' benefits, in a win-win situation. They create value for themselves and the group.

b) Altruistic (prosocial) orientation: in this case, the allocators have little, or virtually none concerns for themselves and act exclusively regarding the other's benefit. They are capable of sacrificing their outcomes

c) Individualistic (proself) orientation: in this particular case, players seek to maximize their results showing no concern for others, as a win-lose situation.

d) Competitive (proself) orientation: in this case, players seek to maximize their utilities and gains. They try to not only improve their outcomes but also attempt to minimize the others' outcomes, as a win-lose situation or like in a zero-sum game. Table 2 shows the archetypal Social Value Orientation (Murphy, Ackermann & Handgraaf, 2011), as follows:

Table 2

The Archetypal Social Value Orientations

Self	Other	Orientation	Inferred motivation	Weight on one's own outcome	Weight on other's outcome
85	85	Prosocial	Maximize the joint payoff or minimize the difference between payoffs	1	1
100	50	Individualistic (i.e., selfish, narrow self-interest)	Maximize the payoff to oneself	1	0
85	15	Competitive	Maximize the positive difference between the payoff for oneself and the payoff for the other	1	-1
50	0	Sadistic	Minimize the other's payoff	0	-1
15	15	Sadomasochistic	Minimize the joint payoff or minimize the difference between payoffs	-1	-1
0	50	Masochistic	Minimize the payoff to oneself	-1	0
15	85	Martyr	Maximize the negative difference between the other's payoff and the payoff for oneself	-1	1
50	100	Altruistic	Maximize the other's payoff	0	1

Source: Murphy, Ackermann and Handgraaf, 2011, p. 17

2.3.5- The Social Value Orientation Slider Measure

Social Value Orientation measurement has drawn a great deal of the researchers' attention in the past few years. Murphy, Ackermann & Handgraaf (2011) devised a continuous scale, rather than using nominal motivational groups. Social Value Orientation slider consists of 15 items, six primary and nine secondary items. In each item, the individuals are supposed to indicate their most preferred allocation *vs.* the other's allocation, regarding nine options. Social Value Orientation slider measure was designed to attain statistical power and meeting psychometric standards. Social Value Orientation Slider measure is presented in a paper version, as well as in a computer-based version. There is evidence that Social Value

Orientation Slider Measure is more reliable than the previous Social Value Orientation

measurements (Murphy, Ackermann & Handgraaf, 2011). For instance, Social Value

Orientation Slider measure's consistency is of 89 %, while the Ring measure is of 68 % and

the Triple-dominance measure is of 70 % (Murphy, Ackermann & Handgraaf, 2011).

2.3.6- The Trust Measurement

Early researchers devised instruments to assess Trust, which is associated with the

individual differences (Evans & Revelle, 2008). Rotter (1967), created the *Interpersonal Trust*

Scale, which is a 5-point Likert scale in a questionnaire with 25 questions.

Yamagishi (1988) introduced a trust scale designed to study the multi-cultural

differences between American and Japanese, through a 60-item questionnaire. Later, the

questionnaire was reduced to six questions, called *General Trust Scale* (Yamagishi and

Yamagishi, 1994). In the General Trust Scale, interviewees were organized into two different

groups: (a) high and (b) low trustors. This method was used to predict the behavioral

differences between groups: low trustors were more likely to compete and high trustors to

cooperate (Yamagishi, Kanazawa, Mashima, and Terai, 2005).

Couch, Adams, & Jones (1996) introduced the *Trust Inventory*, a 40-item (2 sub-

scales, with 20 items each) using unspecified format, evidencing two factors: (a) *generalized*

trust, or G (a situational factor) and *partner trust* or P (a dispositional factor). Finally, the

Behavioral Trust Inventory that also measures trust (Gillespie, 2003).

When negotiators trust each other and engage in value creation and information

sharing, they tend to spend more time in *Question and Answers – Q&A* (Gunia et al., 2014).

The opposite occurs with negotiators who distrust (or even low-trust) each other and engage

in value distribution; they tend to spend more time in *Substantiation and Offers – S&O*, although all negotiators in some point will be concerned with substantiation and therefore, will make offers (Gunia et al., 2014), as depicted in Figure 2:
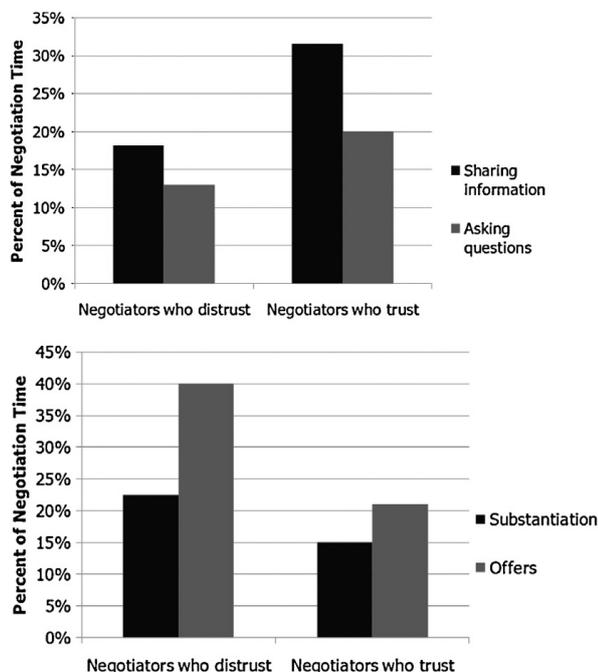
Figure 2. Trust and behaviors. Upper graphic shows Questions & Answers; graphic below depicts Substantiation & Offers. Adapted from Gunia et al., 2014.

2.4- The perspective of Game Theory

In this Section, we present the Prisoner's Dilemma (Section 2.4.1), the Ultimatum Game (Section 2.4.2), and finally, the Game Theory: Cooperation vs. Competition (Section 2.4.3).

The negotiation, "with its primary roots in decision analysis and Game Theory, 'the negotiation analysis' seeks to develop prescriptive theory and useful advice to the negotiators and third parties" (Sebenius, 1992, p.18). Von Neumann & Morgenstern (1944), encompassed the notion of the strategic games that Game Theory is concerned. Later,

Schelling (1960) focused his studies in strategic games, disregarding skill or lucky games, because of the absence of interaction between parties in such games.

John Nash (1928-2015), a North American mathematician, laureate of the Economics Nobel Prize in 1994, developed the notion of equilibria in the context of a game (Nash, 1950). The strictly competitive games were developed by Von Neumann & Morgenstern (1944). Later, the Bayesian Games were studied by Harsanyi (1967/1968). The prisoner's dilemma first entered the literature in unpublished papers by Raiffa & Luce (1957). The standard interpretation of the game is due to Tucker (Raiffa, 1982; Osbourne & Rubinstein, 1990, 1994). Raiffa and Luce (1957) also improved Von Neumann & Morgenstern's (1944) research on Game Theory.

2.4.1- The Prisoner's Dilemma

The Prisoner's Dilemma is probably the most famous and most studied strategic game in Game Theory (Nash, 1950, 1951, 1953; Raiffa & Luce, 1957; Raiffa, 1982; Axelrod, 1984; Osbourne & Rubinstein, 1994). The assumption is that the two players, prisoners A, and B are suspects of committing a crime, and are interviewed separately by two officers at the same time. The Prisoner A does not know what the Prisoner B is talking about and vice versa. The Prisoners may cooperate or not between themselves. Figure 3 depicts Prisoner's Dilemma arranged in a 2 x 2 matrix, as follows:

Prisoner B

		Cooperates	Defects
	Cooperates	(-1,-1)	(-30,-10)
	Defects	(-10,-30)	(-10,-10)

Prisoner A

Figure 3. Prisoner's Dilemma, 2x2 matrix. Adapted from Raiffa & Luce (1957), and Raiffa (1982).

The maximum penalty assumption in the Prisoner's Dilemma to this sort of crime is 30 years, and the minimum one is one year to the prisoners spend in jail. Plea bargaining allows both prisoners to reduce their maximum penalty, from 30 to 10 years. If the Prisoner A confesses the crime (defects), and the Prisoner B stay quiet (cooperates), then the Prisoner A gets a penalty reduction, ten years in jail, and the Prisoner B get a maximum sentence, say, 30 years in prison. If the Prisoner B confesses the crime (defects) and the Prisoner A stay quiet (cooperates), then the Prisoner B gets a penalty reduction, ten years in jail, and the Prisoner A gets a maximum sentence, say, 30 years in prison. If both Prisoners A and B confess (defect), then their penalties are reduced from 30 years to 10 years in jail. If both Prisoners, A and B, stay quiet (cooperate), both get the minimum penalty of one year, each, in prison.

No matter what the other player does, confessing (defect) is the best strategy for both players and, therefore, it is called the *dominant strategy*. According to Game Theory, the players are selfish and seek to maximize their gains instead of joint gains. However, if both prisoners cooperate, then there is a possibility of a minimum penalty for both. In other words, cooperation in Prisoner's Dilemma pays. Furthermore, we notice that the best outcome for the

prisoners is the worst result for the detectives and vice-versa (Thaler, 1994, Raiffa, 1982; Raiffa & Luce, 1957).

2.4.2- The Ultimatum Game

German researchers Güth, Schmittberger & Schwarze (1982) studied the Ultimatum Game. They assembled 21 groups of two students each, total 42 students; one was called allocator, and the other recipient. The task consisted of dividing a fixed amount of money between the allocator and the recipient. The allocators supposed to choose how much each player would receive, and the recipients to choose whether they would accept or not the allocator's division. The results showed inconclusive with Rational Choice theory. The recipient should accept any result above zero, and the allocators should propose offers close to zero. The experiment was repeated one week later, and the results were inconclusive too (Thaler, 1994).

Nevertheless, the Ultimatum Game revealed how recipients behave when confronted with unfair distributions (allocator = 0,9x, recipient =0,1x, for instance). The experiment was replicated again one week later, and the next offers were less generous but greater than the previous experiment. A series of other Ultimatum Game's experiments were performed with similar results (Güth and Tiez, 1987; Kahneman, Knetsch & Thaler, 1986). However, all studies mentioned proved that Ultimatum Game has little importance in describing Game Theory (Thaler, 1994).

Brandenburg & Nalebuff (1996) extended the research to cooperation plus competition, summarized in the book *Coopetition*. Zartman & Touval (1985), analyzed the role of the third parties into a negotiation, i.e., the Mediator, for example. Moore (1986) wrote

The Mediation Process, describing the functions and strategies for the mediators. Robinson,

Lewicki & Donahue (2000), dedicated their research to the Inappropriate Negotiation

Strategies, publishing the *Self-reported Inappropriate Negotiation Strategies* Scale (SINS).

2.4.3- Game Theory: Cooperation vs. Competition

The success of negotiations, like other social activities, depends on some degree, of a

combination of cooperation and competition (Brandenburger & Nalebuff, 1995).

Cooperation is related to high trust levels (Van Lange, 2015), and vice-versa, i.e., the

trust may help to promote cooperation (Balliet, Parks & Joireman, 2009; Balliet & Van

Lange, 2013).

Two factors, amongst many others, contribute to the success (or the failure) of the

negotiations: (a) the scarcity of issues negotiated, and (b) the amount of the interactions.

Raiffa (1982), defines the negotiations with only one issue as distributive negotiations: for

instance, if a single issue is at stake (say money), "the more one party gets, the less the other

party gets" (Raiffa, 1982, p.33).

If a negotiation has only one interaction, such as one-time negotiation (buying a car,

for instance), then the outcome could be different than with the repetitive multiple interactions

(retailer-supplier relationship, for example), where "the bargainers will frequently bargain

together in the future and that the atmosphere at the conclusion of one bargaining session will

carry over to influence the atmosphere at the next bargaining session" (Raiffa, 1982, p. 13).

This argument provides the intriguing idea that the distributive and one-time

negotiations might be more competitive than the integrative and repetitive negotiations.

According to Axelrod (1984), "the evolution of cooperation requires that the individuals have

a sufficiently large chance to meet again so that they have a stake in their future interaction"
(p. 20). What happens then, whether one party decides to maximize always its interests
disregarding the other parties' interests, no matter distributive or integrative, repetitive or the
one-time negotiations?

2.4.3.1- Game Theory and Social Value Orientation

Game Theory influences Social Value Orientation, especially following Von Neuman
& Morgenstern's seminal works (1944), which provided formal means of description and
analysis of the dyadic strategic interactions, based on their individual's utility function
maximization. Nash (1950), however, questioned the Rational Choice Theory, which states
that the players are purely rational, and concerned exclusively with maximizing their results.

Social Value Orientation, as discussed before, is a personal motivation oriented to the
following resource allocation preferences: (a) individualistic (*proself*), or (b) altruistic
(*prosocial*) in dyadic interactions, represented on a *XY*-axis cartesian plane (Murphy,
Ackermann & Handgraaf, 2011; Bogaert, Boone & Declerck, 2008; De Dreu & Van Lange,
1995; Griesinger & Livingston, 1973).

Studies like the Prisoner's Dilemma are evidence that, in fact, one player may be
interested in the other player's welfare. Social Value Orientation is analyzed through
Decomposed Game Technique (Messick & McClintock, 1968; McClintock & Allison, 1989),
also classified in Game Theory as *Dictator Game[2]* (Kahneman and Tversky, 1979). This

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[2]Dictator is a game played between 'allocators' and 'recipients' in which allocators supposed to split an
endowment, such as money, for instance. In this game, recipients are +passive and depend solely on
counterpart's willingness to cooperate on the splitting outcome. For this reason, the Dictator Game is not a

technique allows the observation of the outcome of a split allocation between the 'allocator' and the 'recipient.' It is possible to infer, after many interactions, whether the allocator's preference is restricted to maximizing their own or their consolidated results. Van Lange, Otten, De Bruin & Joireman (1997) argue that Social Value Orientation comes from early childhood, with distinct social interactions and lately oriented when adult.

For instance, consider X and Y players, in which X is the 'allocator' and Y the 'recipient' (a stranger). X is up to choose among three fixed distribution options, namely a, b, and c, as the fixed resources say money, which will be divided between X and Y. *Option a*: X= 90, Y= zero; *option b*: X=100, Y=50; and *option c*: X=90, Y=90. According to Messick & McClintock (1968), X's choices reveal, after many interactions that people who are concerned with their results are *proself* oriented. If people are concerned about the results of other, then they are roughly classified as *prosocial.* In the example given, the options *a* and *b* are *proself* choices while the option *c* is a *prosocial* choice, as shown in Table 3, as follows:

Table 3

SVO Measurement: example

	Option a	Option b	Option c
Points to self (X)	90	100	90
Points to other (Y)	0	50	90

Note: Adapted from Messick and McClintock, 1968

proper game, which by definition players interact with each other. For a broader discussion, see: Kahneman, Knetsch, and Thaler (1986).

2.5- The perspective of Negotiation

In this Section, we present the negotiation definitions (Section 2.5.1), and supporting

theories (Section 2.5.2); the four perspectives of the negotiation processes (Section 2.5.3);

seminal works and negotiation fundamentals (Section 2.5.4); fundamentals: BATNA, ZOPA,

and interests in negotiations; (Section 2.5.5). Affects in negotiations (Section 2.5.6); the

perspective of trust in negotiations (Section 2.5.7); the transformational approach on trust

(Section 2.5.8); multicultural aspects of negotiations: the perspective of Hofstede's cultural

dimensions theory (Section 2.5.9); multicultural aspects of the negotiations: the perspective of

the Globe initiative (Section 2.5.10); multicultural aspects of the negotiations: the perspective

of the three cultural prototypes (Section 2.5.11); multicultural differences and trust (Section

2.5.12); the Complex Negotiation Matrix (Section 2.5.13), and finally, the Business

Negotiation Conceptual Framework (Section 2.5.14) that completes the Section 2.5. We start

though the definition of Negotiations, as follows:

2.5.1- Definitions

The word negotiation comes from Latin *nego,* deny, *otium*, leisure, "deny leisure"

(Salacuse, 2008, p.7). Negotiations, in our everyday life, are a common phenomenon. People

negotiate salary raises, job positions, and the price of goods and services acquisitions. They

negotiate to avoid wars, during and after conflicts, and so on.

Negotiation is, throughout the ages, subject of kings, princes, ministers, diplomats,

even scholars. The English philosopher Sir Francis Bacon (1561-1626), praised on his *Essays*,

the virtues of negotiating by speech than by written letter (Bacon, 2000). François de Callières

(1645-1717), a French diplomat, and former special envoy of the king Louis XIV wrote *De la*

manière de négocier avec les souverains or *On the Manner of Negotiating with Princes* (Callières, 2000, [1716]). This book describes his experience in the negotiations regarding the Treaty of Ryswick, which ended the Nine Year's War, in 1697 between France, England, Spain, the Holy Roman Empire and the United Provinces (Callières, 2006). Callières stressed the importance of the negotiator's qualities, such as:

> attentive mind and apply, which leaves no distracting per pleasures and frivolous amusements right direction, which clearly conceive things as they are and go to the goal by the shortest and most natural ways without force astray and refinement vain utilities which repel usually those with whom one deal, the penetration to discover what happens in the hearts of men and know how to enjoy every movement of their faces and other effects of their passions, which escape the most lapels, a many mind expedients to overcome the difficulties which occur to adjust the interests, whom he represents (Callières, 2006, p.23).

2.5.2- Supportive Theories on Negotiation

The process of negotiation is supported by the following theories among others, not limited to (a) the *Dramaturgical Theory* (Goffmann, 1961), which states that social interaction (which negotiation is all about) is compared to a theatrical drama, in which parties (actors) have stages, play their roles to audiences, among others; (b) the *Social Exchange Theory,* which states that social interaction is a process where the individuals negotiate their exchanges based on subjective cost-benefit analysis and evaluation of alternatives (Homans, 1961); (c) the *Rational Choice or the Rational Action Theory,* states that the individuals are rational agents, utility maximizers who make decisions based on available information and probabilities of occurrence (Becker, 1976). (d) The *Bargaining Theory* is "an exploration of the relation between the outcome of bargaining and characteristics of the situation"

(Rubinstein and Osborne, 1990, p.1), as stated initially by John Nash (1950). Bargaining is a

process in which parties use to reach a deal (Muthoo, 1999). (e) The *Game Theory,* which is

"the study of mathematical models of conflict and cooperation between intelligent, rational

decision-makers" (Myerson, 1991, p.1); (f) the *Affect Theory of Social Exchange,* which is

complementary to social exchange theory. It encompasses the emotions as part of the social

exchange process (Lawler, 2001). (g) The *Prospect Theory*, which posits that people make

decisions based on the subjective analysis of losses and gains, rather than maximizing their

utility function and that the individuals use heuristics to take decisions (Kahneman &

Tversky, 1979). Table 4, compares the mentioned theories with their perspectives, as follows:

Table 4

Supportive Theories on Negotiation

Theory	Dramaturgical Theory	Social Exchangee Theory	Rational Choice Theory	Bargaining Theory	Game Theory	Affect Theory	Prospect Theory
Author(s)	Goffman (1961)	Homans (1961)	Becker (1976)	John Nash (1950)	Von Neumann (1928)	Lawler (2001)	Kahneman &Tversky (1979,1992)
Perspective	Sociological	Sociological	Social and Economic Behavior	Economics	Economics, Political Science, Biology, Decision Making, Computer Science	Psychological	Behavioral Economic
Characteristics	Social interaction seen as a drama	individuals negotiate exchanges based on subjective cost-benefit analysis and evaluation of alternatives	Individuals are rational agents, utility maximizers. Decisions based on rational use of utility function	Determine the outcome of bargaining within a bargaining situation	study of mathematical models of conflict and cooperation between intelligent rational decision-makers	Emotion is part of the social exchange process	decision are based on the subjective analysis of losses and gains rather than the outcome, and that individuals use heuristics to make decisions

Note : Adapted from Goffman, 1961; Homans, 1961; Becker, 1976; Von Neumann, 1928; Lawler, 2001; Kanhneman and Tversky, 1979, 1992.

2.5.3- The four perspectives of the negotiation process

Olekalns & Adair (2013b), proposed a framework that encompasses the four major

Negotiation's fields of researchers and subsets, as depicted in Figure 4. The four major

perspectives are:

First, (a) the Individual Processes, important perspectives to the present research because they include: (a.1)the Individual Differences, such as personality traits and states; (a.2) Emotions; (a.3) Motivated Cognition, and (a.4) Shared Mental Models. Both the individual differences and motivated cognition (that encompasses Social Value Orientation) are subjects investigated in this research.

Then, (b) the Social Psychology processes, which include: (b.1) Power and Influence; (b.2) Trust; (b.3) Fairness and Ethics; (b.4) culture and (b.5) multi-party negotiations. This research investigates trust, part of this field of studies in the negotiations.

Finally, (c) the Communication Processes, composed by: (c.1) Frequencies and Sequences; (c.2) Turning Points, and (c.3) E-communications

Last, (d) the Complex Negotiations, which are composed of (d.1) Trade Negotiations; (d.2) Peace Negotiations; (d.3) Environmental Negotiations; and (d.4) Hostage and Crisis Negotiations. Items (c) and (d) subjects of this work.

The four perspectives in the negotiation process are useful to understand the sets and subsets of the Negotiation field of research, as depicted in Figure 4:
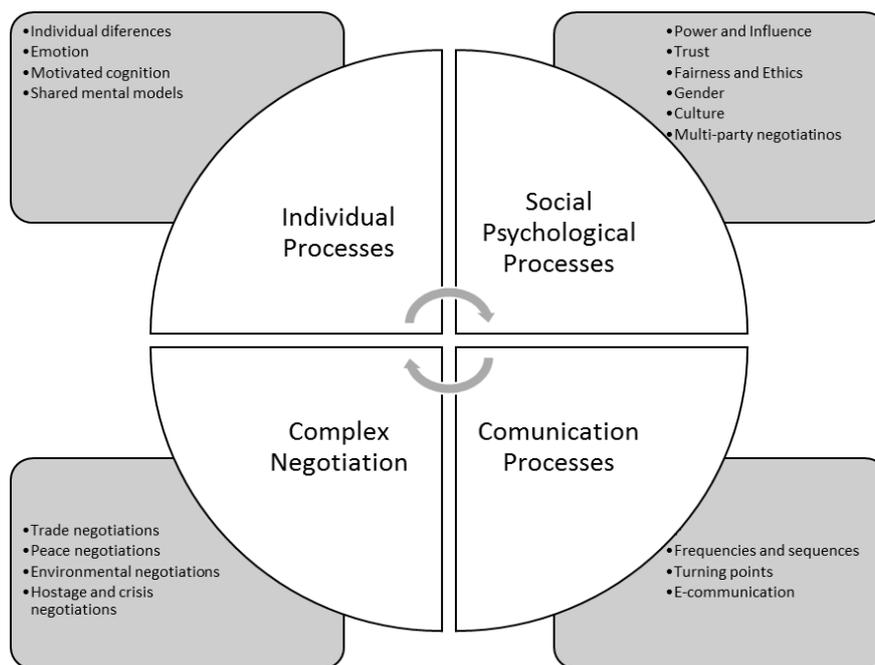
Figure 4. The four perspectives of the Negotiation Process. Adapted from Olekalns & Adair, 2013b.

2.5.4- Seminal works and negotiation fundamentals

Walton & McKersie (1965) wrote *A Behavioral Theory of Labor Negotiations: An Analysis of Social Interaction Systems,* presenting the concepts of distributive *vs.* integrative negotiations, later improved by Raiffa (1982).

Rubin & Brown (1975) wrote *The Social Psychology of Bargaining and Negotiation* that mentioned the Prisoner's Dilemma, describing the social components of the bargaining structure, the individuals as bargainers, their interdependence, strategies for influencing people, among other subjects.

Morton Deutsch's (1973) seminal work, *The Resolution of the Conflict: Constructive and Destructive Processes,* discussed cooperation vs. competition and its relation to the conflict and conflict management.

Deutsch (1973) also described the different negotiation contexts, the form and contents of communications and, in some part, observed the nature of the conflict, and finally Trust (Deutsch, 1973. See also Olekalns & Adair, 2013b).

Probably, the most famous book written in the 1980s regarding Negotiation is *Getting to Yes: Negotiating an agreement without giving in* (Fisher & Ury, 1981). This work set the conceptual basis for BATNA (Best Alternative to Negotiated Agreements), and ZOPA (Zone of Possible Agreements). It also described the importance of being soft on the person and hard with the problems; to have fair criteria in the negotiations, and to focus on interests not in positions (Fisher & Ury, 1981).

According to Sebenius (1992), the negotiation analysis appeared for the first time with Thomas Schelling (1921 -), in the books *Strategy of Conflict* (Schelling, 1960), and *Arms and Influence* (Schelling, 1966). Thomas Schelling was the laureate of the Economics Nobel Prize in 2005.

Howard Raiffa (1924 -), a North American professor from the Kennedy School of Government at Harvard University, wrote *The Art and the Science of Negotiation* (1982), describing distributive and integrative negotiations, as well as analyzing the Panama Channel construction, among other cases.

The winners of the Nobel Prize in Economics (2002), Daniel Kahneman (1934-), and Amos Tversky (1937-1996) were pioneers in the decision-making field of research (Kahneman & Tversky, 1979).

They were followed by Max Bazerman, who published *Judgment in Managerial Decision Making* (1986), and Daniel Ariely (1967-), who wrote *Predictably Irrational: The Hidden Forces That Shape Our Decisions* (Ariely, 2008). Robert Axelrod (1943-),

contributed to the Game Theory field of research, through his seminal book, *The Evolution of Cooperation* (Axelrod, 1984).

Lawrence Susskind and Jeffrey Cruikshank wrote *Breaking the Impasse: Consensual Approaches To Resolving Public Disputes* (1987), studying public disputes and creating a the four steps to a negotiation: (a) preparation (b) value creation (c) value distribution, and (d) follow through. Lawrence Susskind (1947-), is one of the founders of the Program on Negotiation at Harvard Law School, and he is the co-author of *Dealing with Angry Public: The Mutual Gains Approach to Resolving Disputes* (1996)*,* one of the most important books published, on the subject public disputes.

Jeswald Salacuse has published *The Global Negotiator* (2003) and *Seven Secrets for Negotiating with the Government* (2008). He also contributed to Negotiation through the presentation of his findings on Trust applied to Leadership, in the book *Leading Leaders* (2006), as follows:

> Without trust, leaders will not be able to direct, integrate, mediate, educate, motivate, or represent persons in their organizations. In short, trust is essential to carry on effectively the daily passes of leadership (Salacuse, 2006, p.192).

Alain Lempereur and Aurélien Colson studied the ten pitfalls of the negotiation process, and devised a pathway to be followed by the negotiators, called the Negotiation Method, writing the book *Méthode de Négociation* (2004). They wrote later, *Méthode de Médiation: Au Coeur de la Conciliation* (2008), stating the golden rules of the Mediation process.

Christopher Moore (1986), also has published a seminal book on Mediation, *The Mediation Process*, studying in details both the intervention of third parties in the

negotiations, as well as the nature of interests, with practical approaches to mediation, and consensus-building processes.

Duzert (2015, 2007), has summarized his work under the Complex Negotiation Matrix, the first research to encompass in a single framework the ten elements, ten indicators, and the ten forms of negotiation, including the four steps of the negotiation process (Susskind & Cruikshank, 1987). Later, Duzert published *Newgotiation: Newgotiation for Life* (2015).

According to Max Bazerman (2014), a behavioral psychologist at Harvard Business School, negotiators, decision-makers, and leaders have the tendency to be susceptible to cognitive blind spots and biases that usually leads to the poor decision making and ineffective leadership (Bazerman, 2014). His last work, *The Power of Noticing* (2014), throws more light on how to identify these cognitive blind spots or judgmental-biased heuristics, and how to avoid them, to succeed in the negotiations, leadership and decision-making respectively.

According to Neale & Lys (2015), *confirmation bias* is the tendency that people have to confirm their expectations and hypothesis. "Confirmation bias is a huge problem; indeed, it prevents many people from negotiating in the first place" (Neale & Lys, 2015, p.7).

The Anthropologist William Ury (2015) has drawn a great deal of attention to the mediation processes and the dispositional analysis of the negotiations (especially the intrapersonal negotiation), on his last work, *Getting to yes with yourself*. Ury (2015) posits that getting to yes is important, but not at any costs. He assures the importance of how to negotiate with the most difficult person: yourself (Ury, 2015). His work presents a negotiation case involving the French owner of the Casino Group, Jacques Nouriat (Group Casino, 2015) and the former owner of *Grupo Pão de Açúcar* supermarkets, Brazilian entrepreneur, Abilio Diniz (Grupo Pão de Açúcar, 2015). Ury described how he helped to put an end to the conflict between them (Ury, 2015).

2.5.5- Fundamentals: BATNA, ZOPA, and Interests in Negotiations

BATNA (Best Alternative to a Negotiated Agreement) is a term coined by Fisher & Ury (1981), to represent the ideal course of action that parties should engage. If the negotiation fails, then no deal is achieved. The BATNA is the most significant source of power in the negotiations. If the negotiators do not have alternatives in a given negotiation, they will have no alternative, but to comply with the counterpart's terms (Fisher & Ury, 1981).

ZOPA or Zone of Possible Agreement is another term coined by Fisher & Ury (1981) to represent a bargaining extent, or bargaining range, in which parties are willing to accept. In trade negotiations, it is an overlapping range between minimum and reservation prices (The New Palgrave, 2015) that a buyer is disposed to pay *vs.* maximum and reservation prices (minimum, limit price), that a seller is willing to sell in a given negotiation.

On the other hand, the interests play a significant role in Negotiations. Fisher & Ury (1981) pointed out that instead of focusing on positions (generally what the parties declare they want), the parties should rely on interests or the underlying motivations and agendas by which parties are willing to negotiate.

According to Moore (1986), the negotiators bring to the bargaining table three types of interests: *substantive, procedural* and *psychological*. Substantive interests refer to the needs that an "individual has for a particular good such as money and time" (Moore, 1986, p.75). Procedural interests are related to the way that parties want to conduct their negotiations (Moore, 1986). Psychological interests are the "emotional and relationship needs of the negotiators, both during and as a result of the negotiations" (Moore, 1986, p.75), and the

negotiator's self-esteem and respect between the parties. Considering their interests, the negotiators also develop strategies to maximize their outcomes.

2.5.6- The perspective of Affects in negotiations

Feelings, moods, and emotions, are essential elements of the negotiation process since the negotiators bring them to the bargaining table (Watson, Clark & Tellegen, 1988). According to Fisher &Ury, (1981), emotions are reciprocated at the bargaining table: "Emotions on one side will generate emotions on the other. Fear may breed anger, and anger, fear. Emotions may quickly bring a negotiation to an impasse or an end" (p.19).

Affects are "feelings that people experience or their moods and emotions" (George, Jones, Gareth & Gonzalez, 1998, p. 751). Affect is also a generic term that represents moods and emotions (George, 1996). Emotions are feelings directed toward an individual or object (Frijda, 1993). Moods, on the other hand, are feelings less intense than emotions, but they last longer (Weiss & Cropanzano, 1996). For instance, while angriness may continue for moments or minutes, moods endure hours or days. Emotions are revealed better than moods by facial expressions (Ekman & Davidson, 1994). Affects are dispositional factors and psychological states (Watson, Clark & Tellegen, 1988).

Early studies suggested that individuals with *positive affects* tend to feel good, to have a sense of enthusiasm, excitement, and to enjoy the social activity. They also tend to be cooperative, relationship-oriented, and more likely to find solutions through integrative negotiations (Olekalns & Adair, 2013; Watson, Clark & Tellegen, 1988; Watson & Pennebaker, 1989; Pruitt & Rubin, 1986).

On the other hand, past research suggested that the individuals with *negative affects* tend to be impatient, stressed, anxious, nervous, fearful, angry, and even hostile. They tend to be competitive, substance-oriented, and more likely to find solutions through distributive negotiations (Olekalns & Adair, 2013; Watson, Clark & Tellegen, 1988; Watson & Pennebaker, 1989; Pruitt & Rubin, 1986). René Girard, French Anthropologist and Philosopher, who investigated the triangular or mimetic desire, argues that "a little desire is enough to arouse desire in the creature of vanity" (Girard, 1976, p.7), and continue his argument stating that envy and jealousy arise when our efforts to acquire the desired object fail.

Watson, Clark & Tellegen (1988), devised a scale to measure positive and negative affects, named the *Positive and Negative Affect Schedule* (PANAS), a 5-point-Likert scale, consisting of 20 words that described feelings and emotions (Interested, Distressed, Excited, Upset, Strong, Guilty, Scared, Hostile, Enthusiastic, Proud, Irritable, Alert, Ashamed, Inspired, Nervous, Determined, Attentive, Jittery, Active , and Afraid). The PANAS scale, however, was an instrument designed to assess the interviewee's emotions and moods felt, at the moment of fulfilling the questionnaire, or the next week at most, not to assess enduring affects (pp.1063-1070). Therefore, the PANAS scale assesses the emotions and moods restricted to recent events, only.

2.5.7- The perspective of Trust in Negotiations

Trust is a word that comes from old German *trost,* faith, belief on the veracity. Also from Germanic languages such as Old Norse *traust*; Dutch *troost*; old German *Trost* (today´s

German trauen, vertrauen); Gothic *trausti, as* sources of Old English *treowian* and late

English Trust (Online Etymology Dictionary, 2015).

Trust is different from confidence, that comes from Latin *com* – together and *fidere* –

faith (Online Etymology Dictionary, 2015). Confidence is the certainty about a prediction is

correct; it is a universal attitude, an unconscious background process (Rotter, 1967, 1980).

Trust is also different from *trustworthiness*. While trust regards trustor's expectations,

trustworthiness regards trustee's expectations (Lewicki & Polin, 2013). According to Mayer,

Davis & Schoorman (1995) there are three aspects of trustworthiness one expects from a

trustee: (a) benevolence; (b) integrity; and (c) ability (Lewicki & Polin, 2013, p. 165).

"Trust is a psychological state comprising the intention to accept vulnerability based

upon an expectation of reciprocity" (Rousseau, Sitkin, Burt, & Camerer, 1998, p.395). Trust

is also a "confident, positive expectations regarding another's conduct" (Lewicki, McAllister

& Bies, 1998, p. 439). However, "expectations were equally influenced by the level of

temptation" (Evans & Krueger, 2014, p.99). Trust is intimately connected to honesty,

although honesty is not investigated here, according to Lewicki & Hanke (2012):

> Trust and honesty are thus at the central core of the negotiation; each negotiator must decide
> how honest to be, and how much to trust the other, in the process of shaping and disclosing
> information to achieve a viable, acceptable agreement. In general, we can view honesty as the
> 'sender's responsibility' in the information exchange and trust as the 'receiver's
> responsibility,' but each person's actions and reactions are intimately tied to the other (Lewicki
> & Hanke, 2012, p. 214).

According to Lewicki & Hanke (2012), there are three important factors to be

considered at the trust level of an individual. First, (a) past experiences and the personality

traits that drive the individual towards a more comprehensive disposition to trusting others. Then, the (b) expectations based on the previous reputation; and finally, (c) the situational factors (p.214).

Trust is perceived differently across the countries (Balliet & Van Lange, 2013). In given situations, where the parties communicate and coordinate with each other, trust can also be demonstrated, through emotions, conversations, interactions, and intentions (Lewicki, Tomlinson & Gillespie, 2006). Physical appearance may also trigger Trust (Todorov, Pakrashi, & Oosterhof, 2009).

In this research, the interpersonal trust, or trust regarding negotiators, is the object of study. As a matter of fact, Trust and Confidence in Portuguese are represented by the same word, *confiança* (Latin root). Since the interviews are conducted in Portuguese, understanding the difference between both terms is mandatory. Trust, in Portuguese is translated as *confiança interpessoal* (Rotter, 1980) while confidence is *confiança intrapessoal*. We provided additional explanation of these differences regarding trust to all interviewees, to avoid misunderstandings.

Trust is a fundamental part of any negotiation context and a hot topic in recent research (Olekalns & Adair, 2013). The parties decide to negotiate, to share their values and information, because they trust at least in themselves, and most likely, in a possible positive outcome of a given negotiation (Lewicki & Stevenson, 1998; Mayer, Davis & Schoorman, 1995). Trust is fundamental to value creation in negotiations: "without value creation, the negotiators often cannot find enough value to claim, and without trust, the negotiators often find it hard to create value" (Gunia et al., 2014, p.28). Early researchers suggest that interpersonal trust is a desirable quality (Lewicki & Stevenson, 1998; Mayer, Davis &

Schoorman, 1995). According to Salacuse (2006), trust interferes in the decision-making

process and leadership within the organization:

> Trust allows people to focus more intensely on the task at hand, rather than on their troubled and
>
> suspicious relationships with the other. And finally, trust in an organization reduces the costs of
>
> carrying out its activities. Generally speaking, the less trust that exists in an organization, the more
>
> it must devote resources to compliance (Salacuse, 2006, p196).

According to Evans & Krueger (2014), trust augments when the risks associated are

reduced, through increasing the perception of the benefits of reciprocation and decreasing the

perception of the cost of the betrayal.

Trust has been usually associated with the different traditions: (a) the behavioral

tradition (Thompson, 2015, 1980; Bazerman, 2014; Bazerman & Malhotra, 2007;

Williamson, 1981; Walton & McKersie, 1965; Deutsch, 1958), and (b) the psychological

tradition (Mayer, Davis & Schoorman, 1995; Rousseau, Sitkin, Burt, & Camerer, 1998;

Shapiro, Sheppard, & Cheraskin, 1992).

Prior research in the Psychological approach, grouped trust in the three different

models: (a) *the unidimensional model* that trust and distrust are opposites (Mayer, Davis &

Schoorman,1995). The (b) *two-dimensional model*, in which trust and distrust are independent

factors (Lewicki & Stevenson, 1998). Finally, (c) *the transformational model*, in which trust

is a dynamic factor. Trust may change and evolve throughout time (Lewicki & Bunker, 1995,

1996; Shapiro, Sheppard, & Cheraskin, 1992). Table 5 depicts the two traditions: the

Behaviorist and the Psychological. Govier (1994) defined distrust as the "lack of confidence

in the other" (p. 240).

Table 5

Theoretical Approaches of Trust

Key Question	Behavioral	Psychological		
		Unidimensional	Two-dimensional	Transformational
How trust is defined and measured?	Derived from confidence. Measured by observable behavior in experiments	positive expectations; scales from distrsut to high trust	trust = positive expectations distrust = negative expectations	expected costs and benefits; qualitative indicators
At what level does trust begin?	From zero or from cooperative behavior	from zero to initial trust	from low levels	begins at calculus-based stage.
What causes trust (distrust) over time?	Increase if cooperative behavior (increase if competitive behavior)	greater number of positive (negative) interactions	number of positive (negative) interactions	grows with positive relationship (grows with disconfirmed expectations)

Note: Adapted from Lewicki, Tomlinson & Gillespie, 2006, 2006; Williamson, 1981; Mayer, Davis & Schoorman, 1995; Rousseau, Sitkin, Burt, and Camerer, 1998; Deutsch, 1958; Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard & Cheraskin, 1992

Lewicki, McAllister and Bies (1998) defined Trust as the "confident, positive expectations regarding another's conduct" (p.439). Schoorman, Mayer & Davis (2007) revisited the subject and pointed guidelines for future researchers:

> We also reviewed some of the interesting new directions in the research on trust. Prominent among these is the inclusion of the role of affect and emotion, trust violations, and repair. We believe these constructs will add new dimensions to the model of trust and provide for valuable research in the future. Another area seeing rapid growth in interest is the role that international and cross-cultural dimensions play in the model of trust. (Schoorman, Mayer & Davis, 2007, p.352).

Trust is risk-taking, in every relationship (Schoorman, Mayer & Davis, 2007). One person may trust the counterpart, but the counterpart may not trust in return, after all, a relationship is not unidirectional (Schoorman, Mayer & Davis, 2007). Trust involves a trustor, a trustee and a *bet in the future* (Schoorman, Mayer & Davis, 2007).

Luhman (1988) observes that Trust varies from small and large-scale societies to complex societies due to the specialization of work. Lewicki, Tomlinson & Gillespie, (2006) defined Trust,

> As a psychological state, trust is composed of two interrelated cognitive processes. The first entails a willingness to accept vulnerability to the actions of another party. The second is that, despite uncertainty about how the other will act, there are positive expectations regarding the other party's intentions, motivations, and behavior (Lewicki, Tomlinson & Gillespie, 2006, p. 996).

Trust often involves sharing information with the counterpart: "In essence, trusting allows the negotiators to share a little confidential information on their interests and priorities, even though their counterpart could use this information to exploit them" (Gunia et al., 2014, p.28). The amount of prior information from the counterpart's behavior in the previous negotiations is also significant and therefore, influences Trust (Adair & Brett, 2005). It is difficult to the negotiators to trust, whether their counterparts have a poor, distributive or bad reputation (Tinsley, O'Connnor & Sullivan, 2002).

Trust, as well as its opposite, distrust, also involves reciprocity. Some negotiators tend to reciprocate both trust, and distrust (Gunia et al., 2014, p. 28). According to Batson (2011, 1998), the prosocial behavior is connected to altruism. Therefore, the sooner cooperation and trust starts, the better for both parties (Gunia et al., 2014, p. 28).

Axelrod (1984), argues that the first movement in a negotiation should be a cooperative one because players tend to reciprocate the behavior. He extended the same principle to Social Cooperation.

According to Lewicki, Tomlinson & Gillespie (2006), if there are no previous interactions between players, then Trust is assumed to begin at zero points. Luhman (1979) argued that at the beginning of a relationship between two strangers, it is less expensive to start from the assumption that the other is trustworthy than to engage in a costly investigation of Trustworthiness by the other side. In this case, "individuals have to rely on their analysis of the situation and their predisposition to the situation to make their decisions to cooperate or not" (Lewicki, Tomlinson & Gillespie, 2006, p. 995).

For Lewicki, Barry, and Saunders (2010), prevailing distributive or competitive negotiation processes have the effect of decreasing Trust, while predominant integrative or cooperative negotiation processes have the effect of increasing Trust.

According to Meyerson, Weick, and Kramer (1996), the negotiators do not need to engage in a distrustful negotiation. Based on reputation, past acts or even with *scarce* or *little information*, the negotiators may still engage in the negotiations with high-levels of Trust.[3]

Finally, there are *trustors* and *trustees*. Trustors are Trust *givers* while Trustees are *Trust receivers*. For Malhotra (2004), both trustors and trustee have different goals, regarding their perceptions and standpoints. "Trustors focus primarily on the risks of being trusted (e.g., how vulnerable they are), while those being trusted focus on the benefits to be received from the trust" (Lewicki & Hanke, 2012, p.215).

Those different approaches are called *framing bias* (Lewicki & Brinsfield, 2012), or "a biased, judgmental perspective that shapes how the other's actions are viewed and interpreted" (Lewicki & Hanke, 2012, p.215). It means that the trust giver (*trustor*) has a

---

[3] In chapters four and five, we found, analyze and discussed a distinct form of trust, in which trustor has no information about the trustee, according to the perceptions of the interviewees (data gathered in 2015).

tendency to trust when the risks of trusting are acceptable. Nevertheless, the trust receiver (*trustee*), in turn, has a tendency to trust when the benefits seemed to be high (Lewicki & Brinsfield, 2012).

2.5.8- The Transformational approach: Types of Trust

The objective of this Section is to present the different typologies of the transformational or evolutionary Trust. We discuss the literature review gap with additional details in chapter four (see the Section 4.2).

Butler (1991) devised ten attributions of Trust: (a) availability, (b) competence, (c) consistency, (d) discreteness, (e) fairness, (f) integrity, (g) loyalty, (h) openness, (i) promises fulfillment and (j) receptivity. Shapiro, Sheppard, & Cheraskin (1992) pointed the first stage of transformational Trust: the *Deterrence-Based Trust* that is a minimal condition for establishment and business relation buildings, in which parties must be coherent in words and actions, at least, especially about promises made before, during and even after the negotiation process (Lewicki & Polin, 2013). If, for instance, vendors declare delivering a given product to their clients in three days, they must comply with their predictions.

The second form of Trust, according to Lewicki & Bunker (1995) is the *Calculus-Based Trust*, which is motivated by positive future rewards for compliance (for a brief explanation, see also Lewicki & Polin, 2013, p. 163).

Dissuasion, in the *Calculus-Based Trust,* is not the only motivational underlying force, such as *the Deterrence-Based Trust*. On the contrary, the *Calculus-Based Trust* is based on the assumption that trustors have previous information about trustees and are positive about their future outcomes (Lewicki & Polin, 2013). Trust, therefore, is consistent with continued

interactions (Lewicki & Polin, 2013). Trust fundamentals lie about the predictable behavior of both trustee and trustor. As time and the interactions go by and become stronger and reliable, trust evolves into a tougher form, called the *Knowledge-Based Trust* (Lewicki & Polin, 2013; Shapiro, Sheppard & Cheraskin, 1992; Lewicki & Bunker, 1995; 1996).

Knowledge-Based Trust is the type of transformational Trust, in which both trustor and trustee are capable of anticipating and predicting the future negotiations' outcomes, based on prior experiences and meaningful interactions along time. The trustors have consistent previous information on trustees' performances. Such predictions may be positive, as well as negative. In this form of Trust, anxiety is reduced, and trustor has a perceived sensation of the situational control (Shapiro, Sheppard & Cheraskin, 1992; Lewicki & Polin, 2013, p.163).

The strongest form of Trust is called the *Identification-Based Trust*, in which parties have mutual interest and appreciation (Lewicki & Stevenson, 1998, p. 107; Lewicki & Polin, 2013, p.164). It is a sort of Trust between the trustee and the trustor, with no precedents. Trustors have previous information on trustees, and they could act as the trustee's agent. Lewicki & Bunker (1995; 1996), posit that Identification-based Trust has often been part of the integrative negotiations, especially when the parties know each other for a long time and quite well. For instance, the *Identification-Based Trust* drives problem-solving approach in the Dual Concern Model (Pruitt & Rubin, 1986), towards mutual gains. Despite its strength, the *Identification-Based Trust* is, to the same extent, difficult to find among companies and individuals (for a brief explanation, see also Lewicki & Polin, 2013, p.164). Table 6 depicts a summary of the types of Evolutionary Trust, compared with previous works, as follows:

Table 6

Types of Evolutionary Trust

Type of Trust	Deterrence-based	Calculus-based	Knowledge-based	Identification-based
Primary Motivator	deterrence dissuasion retaliation	positive rewards	past experiences	total reliability
Trustor Control	weakest	weak	strong	strongest
Risk	strongest	strong	weak	weakest
Time Orientation	future	future	past	past

Note: Adapted from from Lewicki and Bunker, 1995,1996; Lewicki and Stevenson, 1998; Shapiro et al., 1992; Lewicki & Polin, 2013.

2.5.8.1- The Trust/agreement Matrix

Peter Bock (1987), has studied Trust regarding coalitions, mentioning *vision* as the driving force (see Figure 5). Bock (1987), pointed two dimensions in which parties would be aligned, regarding (a) high or low agreement with your standpoints, and (b) high or Low-Levels of Trust between the parties, as depicted in Figure 5, as follows:
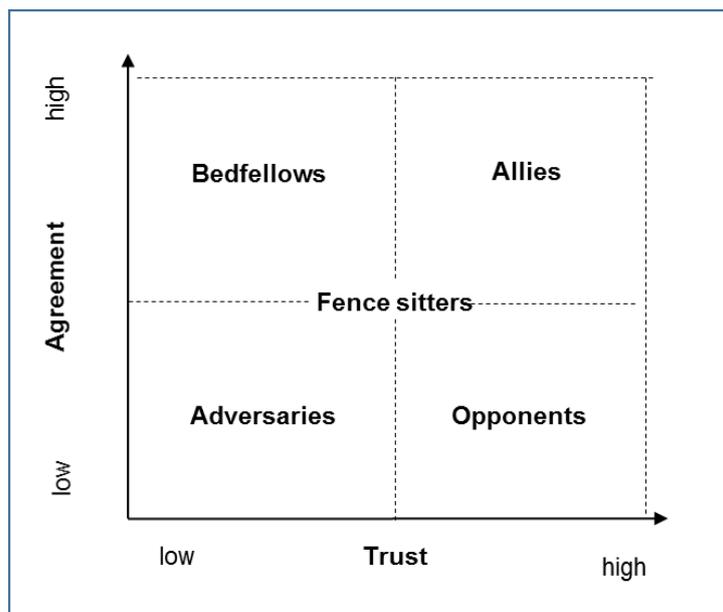
Figure 5. Trust/Agreement Matrix. Adapted from Bock (1987).

The Trust/Agreement matrix (see Figure 5), shows: (a) adversaries, the parties that mutual Trust is low as well as level of agreement; (b) opponents, the parties that mutual Trust is high, but the level of agreement is low; (c) fence sitters, the parties that neither agree, neither disagree. Therefore, neither trusted, neither distrusted, tending to be distrusted over time, nor seen as the unreliable parties; (d) allies are the parties that mutual Trust is high, as well as the level of agreement, and finally, (e) bedfellows are the parties which mutual Trust is low, and the level of agreement is high (Bock, 1987; Lewicki, Barry, and Saunders, 2010).

2.5.9- The multicultural aspects in negotiations: the perspective of Hofstede's Cultural Dimensions

Geert Hofstede (1928 -   ) pioneered the research on the cross-cultural dimensions of organizations and social groups, inspired by the previous research conducted by Inkeles & Levinson (1954).

According to Hofstede, Culture is "the collective programming of the mind that distinguishes the members from one group or code of people from another" (Hofstede, 2001, p. 9). For instance, Brazil is a country with high power distance, masculine, individualistic, with high uncertainty avoidance degree and short-term orientation (Hofstede & Hofstede, 2005, pp.43-168).

The Values Survey Module (VSM) is used to assess the cultural dimensions (Hofstede, 2001). It has evolved from VSM 80 to VSM 82 (two last digits represent the year that VSM was created), that comprised all the four original dimensions: (a) masculine x feminine dimension; (b) power distance; (c) collectivism x individualism, and (d) uncertainty avoidance (Hofstede and Hofstede, 2005). The VSM 94 included a fifth dimension: (e) long-term versus short-term orientation (Minkov & Hofstede, 2010). The current version is the VSM2008 that included three new dimensions proposed by Michael Minkov (2011, 2013): (f) exclusionism versus universalism, (g) indulgence versus restraint, and (h) monumentalism versus flexumility (Minkov & Hofstede, 2011).

2.5.10- Multicultural aspects in the negotiations: the perspective of Globe Initiative

Other researchers have revised and updated Hofstede's cultural dimensions (House et al., 2004). The GLOBE initiative research examines cultures and values grouped in the following dimensions: (a) future orientation, (b) gender equality, (c) assertiveness, (d) humane orientation, (e) in-group collectivism, (f) institutional collectivism, (g) performance orientation, (h) power distance and (i) uncertainty avoidance (House et al., 2004).

The GLOBE initiative (House et al., 2004) added four new cultural dimensions to the previous Hofstede's research (Hofstede and Hofstede, 2005): (j) performance orientation, that

is related to a religious aspect of the individuals; (k) assertiveness, that is linked to country's natural resources; (l) future orientation, that is related to the amount of trademarks per capita; (m) humane orientation, that is related to retailing outlets per capita and includes hospitality (House et al., 2004). Finally, culture has been pointed as a moderator factor in the negotiation process (Olekalns & Adair, 2013b).

2.5.11- Multicultural aspects in the negotiations: the perspective of the Three Cultural Prototypes and World Values Survey

Recent research points out three cultural prototypes that affect how the other negotiators from distinct countries/multinational cultures negotiate (Brett, 2007). Prototypes are categorizations that some members of a given culture are more central, more representative than others, according to early *Prototype Theory* (Rosch, 1973, 1975). Other scholars have tried to arrange multinational cultures based on prototypical theory, economic history, and population density. These studies pointed the three prototypical cultures, respectively: *(a) Dignity culture, (b) Face culture, and (c) Honor culture* (Schwarz, 1994; Pitt-Rivers, 1968, Nisbett & Cohen, 1996; Bourdieu, 1977, Gilmore, 1991; Leung & Cohen, 2011). Table 7 depicts the three prototypical culture's main differences:

Table 7

Prototypical cultures main features

Prototypical culture	Dignity	Face	Honor
World Region	Western Europe, North America, Australia, New Zealand societies	East Asian societies (Eg. Japan, China, Korea)	South American and Middle-Eastern societies
Populational density	Low	High	Low
Historical Economy	Agriculture	Agriculture	Herd

Note: Adapted from Ayers, 1984; Schwarz, 1994; Pitt-Rivers, 1968, Nisbett and Cohen, 1996; Bourdieu, 1977, Gilmore, 1991; Leung and Cohen, 2011.

Dignity cultures represent modern Western societies, such as Western Europe, North America, New Zealand and Australia (former British colonies), which self-worth and the individualism are main features (Leung & Cohen, 2011). According to Schwartz (1994), dignity manifests the independence and the individualism when referred to own objectives and goals. Dignity cultures have their offspring in agricultural economies with a low-density population (Nisbett & Cohen, 1996).

Face cultures represent modern East Asian societies. According to Hofstede & Hofstede (2005), East Asian are known traditionally as collectivistic societies. *Face* represents the reputation for the tradition, honoring and respecting seniority and family (Schwartz, 1994). *Face cultures* evolved in agricultural economies, with the high-density population. Such cultures developed collective goals for cooperation and organization, given the tremendous task of feeding and housing high-density population.

Honor cultures are associated with low-density population, and historical herd economies, which are portable wealth, difficult to defend in case of wars and, therefore, vulnerable to attacks (Nisbett & Cohen, 1996). In such unfavorable conditions, a reputation for toughness in defending land, property and family is desirable, as well as intolerance and

aggressiveness in responding to insults (Nisbett & Cohen, 1996). However, there are scarce studies on Latin or even Middle Eastern cultures (Aslani et al., 2013).

Further studies on Latin American cultures are strongly recommended. It is hard to accept that Brazilian economy has its offspring on herd economy throughout history. Brazil and most countries in Latin America were former plantation colonies from European countries like Portugal and Spain, and their historical roots come from colonial domination and exploitation strongly established on an agricultural economy based on slavery work, not in a herding economy primarily (Freyre, 2004, 2005; Hollanda, 1995 [1936]). Brazilian colonial and imperial periods are remarkably strong in agricultural and low-density population. (Damatta, 1987, 1997, 2001; Freyre, 2004, 2005; Hollanda, 1995 [1936]).

Brasil is an expressive representative and largest country of Latin American and Caribbean (LAC) culture (Damatta, 1987, 1997, 2001; Freyre, 2004, 2005; Hollanda, 1995 [1936]). As an evidence of Brazilian agricultural past, see below the first version of the Imperial Flag, used in Brazilian Empire from 1822 to 1827 (Casa Imperial do Brasil, 2015), as shown in Figure 6. The two main sources of wealth regarding Brazilian economics (XIX and late XX centuries), were coffee and tobacco plantations, as follows:

Figure 6. The first version of Brazilian Imperial National Flag (1822-1870). Source: Casa Imperial do Brasil, 2015. Printed with permission.

D. Pedro I created this flag by decree, on September 18th, 1822 (Câmara dos Deputados, 2015), 11 days after the proclamation of Brazilian Independence (September 7th, 1822). Therefore, the classification of Latin American as an *Honor prototypical culture* raises questions for future researchers to answer.

Finally, despite the scarcity of studies regarding Latin American countries, Aslani et al. (2013) described three prototypical cultures regarding conflict management characteristics. Their confrontation styles are shown in Table 8, as follows:

Table 8

Confrontation style in cultures of Dignity, Face, Honor

Category	Dignity	Face	Honor
Confrontation Style	Tend to be focused in rationality. Emotional displays are not encouraged. Tend to face conflicts directly.	Tend to be focused in relationship. Emotional displays are not encouraged. Tend also to preserve harmony. Tend to face conflicts avoiding confrontation	Tend to display emotions. Tend to face conflict directly and agressively

Source: Aslani et al, 2013

Although our research does not regard Trust among Nations (Labonne & Chase, 2010), we present a global initiative, called the World Values Survey (2015) that measures interpersonal trust across countries. In the 2015 survey, 118 countries were investigated. Brazil appeared in the 108º position, one of the last untrustworthy countries researched. Denmark is the 3rd and Norway the first positions respectively. However, the World Values Survey analyzes the different indexes for several years (for instance, Brazil appears in a

survey conducted in 2008 and Denmark has been investigated in 1999). World Values Survey

analyzed countries before and after the 2008 global economic crisis, in the same index, within

ten years of maximum range, turning the comparison difficult (World Values Survey, 2015).

Another global initiative is the Trust Barometer (Edelman, 2015), which compared

Trust regarding institutions in 21 countries (business, non-governmental organizations,

governments, and media, among others), including:

> Companies headquartered in BRIC countries remain among the most distrusted of businesses.
> Brazil, China, Russia, India and Mexico all recorded trust levels well below 50 percent (38
> percent, 36 percent, 35 percent, 34 percent, and 31 percent, respectively), a stark contrast to
> countries such as Sweden, Canada, Germany and Switzerland that registered as high as 76
> percent (Edelman, 2015, p. 6).

According to Edelman (2015), high-rank positions may influence Trust: "Academics,

industry experts, and technical experts remain the most credible spokespeople for business,

standing in stark contrast to CEOs, who are now nearly half as trusted, with Trust levels at 43

percent" (p. 7).

2.5.12- Sociological Reduction, and Brazilian Business Management

The Brazilian Sociologist Alberto Guerreiro Ramos (1915 -1982) argued about

Sociological Reduction, which is, "dictated not only by the imperative to know, but also the

social needs of a community that, in carrying out its historical existence of the project, has to

serve the experience of other communities (Ramos, 1965, p.81, our translation).

Ramos compared the differences between Brazilian and North-American societies. He argued that what is valid for the North American Society does not serve as a model to be applied to Brazilian reality necessarily, because of the uniqueness of the Brazilian culture (Ramos, 1965). Therefore, our findings possibly make sense only to the Brazilian reality.

Sergio Buarque de Hollanda, Brazilian Historian, published in 1936 his book *Raízes do Brasil* ("Roots of Brazil"), which defined Brazilians as "friendly, cordial people", stating that the Brazilians are more emotional than rational in making decisions, therefore impulsive, from high-ranks governmental officers to entrepreneurs, business people, and ordinary citizens (Hollanda, 1995 [1936]).

One important cultural aspect of Brazilians is described by Hollanda (1995 [1936]), which is called *jeitinho* (knack), or the way to solve controversial problems in a creative manner. The Brazilian Sociologist Roberto DaMatta (1936 -   ) called *jeitinho* as the way Brazilians navigate, socially speaking (DaMatta, 1997). Although part of the Brazilian culture, *jeitinho* has a negative connotation, because the solutions often are not morally acceptable (DaMatta, 1997).

To illustrate *jeitinho,* we describe the interview #14, a typical case regarding Public Administration (DaMatta, 1997). MSSITHE014 was finishing a project to the Municipality of Rio de Janeiro (local government), a golf camp for the Rio Olympics 2016. The Mayor asked an extra task to MSSITHE014, neither part of the contract, nor mentioned in the project scope, therefore, not the responsibility of MSSITHE014. The Mayor requested a fence to surround the golf camp. MSSITHE014:*"I said: -ok, this is all according to our schedule, and he (the Mayor) said: - but you will provide the fences"*. The Mayor continued: *"- we don't have a dime to add to this project. We must finish this project"* (MSSITHE014). Therefore, in this situation, the Mayor asked MSSITHE014 for a *jeitinho* or a way to solve *his* problem,

apparently impossible to be accomplished under normal circumstances. Therefore, j*eitinho* is not necessarily a mutual solution (DaMatta, 1997).

Jeitinho also influences the way Brazilian managers solve controversies. Cavalcanti (2014), in his book, *The Equalizer Manager,* describes *jeitinho* as part of the Brazilian organizational culture, comparing through metaphors, the "Manager Caboclo" and the "Manager Equalizer".

"Manager Caboclo," is the prototype of the public manager who does not work in a structured way. For instance, this type of manager uses the *jeitinho* to get things done by any means, especially unusual ones. On the other hand, the "Manager Equalizer", is the professional who works in a structured way, based on best practices regarding the Brazilian Public Administration (Cavalcanti, 2014).

Brazilian characteristics also influenced the Brazilian way of doing business, is rooted in the family business, which is defined as "a business controlled in total or majority and managed by family owners for more than one generation" (Dias et al., 2014, p. 217).

Brazilian business tradition is rooted in Family Business that were the only sort of business allowed throughout 75% of the 515 years of history since 1500 when Portugal discovered Brazil (Dias, 2015, 2014; Freyre, 2005).

According to Dias et al. (2014), Brazilian business culture is deeply influenced by Brazilian historical periods of Colony and Empire (1500-1889), especially influenced by the former system of government, created in 1503 by D.João III, King of Portugal, called *Capitanias Hereditárias*. Brazil was divided into 15 large extensions of land, given to *donatários* (recipients). In this system, the family was the only sort of business allowed. This system lasted until 1821 when it was finally abolished. (Dias et al., 2014).

In this system, independent initiative and entrepreneurship were virtually little or nonexistent (Dias, 2014; Freyre, 2005; DaMatta, 2001; Dias et al., 2014. For instance, according to SEBRAE (2014), 95 % of Brazilian firms are family businesses in vast majority composed of small companies (*micro empresas*), that represent 99 % of Brazilian market (Dias, 2015; BNDES, 2015). However, only 5 % of these companies, reach the second generation of their family businesses in Brazil (SEBRAE, 2014; Dias et al., 2014).

In 2014, Brazilian SEBRAE (*Serviço Brasileiro de Apoio às Pequenas e Micro Empresas* – Service of Support to Small Businesses), portrayed Brazilian family business according to the following characteristics, rooted in Brazilian family business tradition: (a) small administrative structure. (b) Hierarchical command, prompted to respond quickly to situations, founding group; (c) relevant community and business relationships resulting from a respected name; (d) resources obtained from family savings; (e) culture of loyalty; internal organization, and (e) family ties fostering workplace relations (SEBRAE, 2014).

Traditional family business in Brazil could affect the way the Brazilians negotiate in the following sense: (a) the reduced amount of family companies that reach the second generation (SEBRAE, 2014), may indicate irreconcilable conflicts among family business members (see Dias et al., 2014, 2015). Therefore, the negotiation among family members in Brazil might be more conflicting than in other countries. (b) Small administrative structure and the short hierarchical command may influence the Brazilians to negotiate in less time than in other countries, because there are fewer people involved in the decision-making process and consequently, in the negotiations, despite scarce or nonexistent studies on the average time of negotiation among Brazilians. (c) Significant community and business relationships resulting from a respected name may influence the way the Brazilians select their counterparts to do business and to negotiate with: based on reputation and being part of a domestic

network may be very attractive to future businesses; (d) family ties may influence the way the

Brazilians negotiate regarding conflicts. Family negotiations may be more sensitive and

conflicting due to the family ties. Dias et al. (2014) report a case, which 16 brothers and

sisters clashed for the control of their family business after the founder's death, dividing the

family in two (11 brothers and sisters against five). The Brazilian Court of Justice decided the

case, and the company was sold to third parties (Dias et al. 2014).

2.5.13- The Complex Negotiation Matrix

The Complex Negotiation Matrix (Duzert, 2015, 2007) inspired our Business

Negotiation Conceptual Framework. As mentioned previously, we investigated the Complex

Negotiation Matrix's ten elements respectively: (a) context, (b) interests, (c) options, (d)

power, (e) cognition, (f) relationship, (g) concessions, (h) conformity, (i) criteria, and (j) time.

The Complex Negotiation Matrix (Duzert, 2015, 2007) is depicted in Figure 7, as follows:

Complex Negotiations Matrix		The four steps			
		Preparation	Value Creation	Value Distribution	Follow through
Ten Elements	Context	x			
	Interests	x	x		
	Options	x	x		
	Power	x	x		
	Cognition	x	x	x	x
	Relationship	x	x	x	x
	Concessions			x	
	Conformity	x			x
	Criteria			x	x
	Time	x			x

Ten Forms		Ten Indicators
Interest Based	Direct Negotiations	Satisfaction/Rationality
	Parallel Informal Negotiations	Control
	Multi Stakeholder Dialog	Risk
	Agents	Economic Optimization
	Facilitator	Ethics
	Mediator	Justice and Equity
	Meta-Mediator	Impact and Sustainabiity
	Arbitration	Productivity
Law Based	Judge	Emotions
	Military Force	Autopoiesis

Consensus Building Techniques
Joint Fact Findings
Contingency contracts

Figure 7. The Complex Negotiation Matrix. Source: Duzert, 2015, 2007.Reprinted with permission.

2.5.14- The Business Negotiation Conceptual Framework

According to Van de Ven (2007), a research model, or conceptual framework has its importance to given research because it is considered:

> An instrument for linking theory with data regarding function, representation and learning. First, a model functions as a tool or an instrument that is independent of the thing on which it operates and connects, just as a hammer is separated from the function of connecting the nail to the wall. Research models function as instruments and are independent of, but mediate between theories and the world; and like tools can often be used for the different tasks (Van de Ven, 2007, p.144).

The Complex Negotiation Matrix (Duzert, 2015, 2007) inspired the Business Negotiation Conceptual Framework, especially regarding the ten elements of negotiation (see Figure 7). The Business Negotiation Conceptual Framework presents the three factors here investigated, linked to our academic contribution: (a) Trust, (b) Social Value Orientation, and (c) the Brazilian culture. These factors "significantly alter our understanding of the phenomena, by reorganizing our causal maps" (Whetten, 1989, p.493).

The two dispositional factors are investigated (Trust and Social Value Orientation), which have been studied mostly in separate quantitative studies. They have drawn a great deal of attention from the researchers throughout the years: (a) *Trust* (Deutsch, 1958; Williamson, 1981; Hardin, 1993; Mayer, Davis & Schoorman, 1995; Rousseau, Sitkin, Burt, and Camerer, 1998; Lewicki, McAllister and Bies, 1998; Mayer, Davis & Schoorman, 1995; Gunia, et al., 2014) and (b) Social Value Orientation (Murphy, Ackerman and Graaf, 2011; Balliet, Parks & Joreiman, 2009; Bogaert, Boone & Declerck, 2008; De Dreu & Van Lange, 1995; Livingston, 1973).

The negotiation process is usually assessed through the Subjective Value Inventory (Curhan, Elfenbein & Xu, 2006), which evaluates four parameters: (a) the feelings about the instrumental outcome (e.g. economic outcome); (b) the feelings about oneself; (c) the feelings about the process, and (d) the feelings about the relationship. Subjective Value Inventory is a 16-questions, 7-point Likert scale, in which the negotiators use to evaluate their negotiation outcomes. Finally, after an evaluation using the Subjective Value Inventory, the negotiation is reported as successful or not.

The academic contributions in the field of research are: (a) to generate insights for future researchers to investigate the phenomena and testing hypotheses; (b) to understand Trust as a dispositional factor and its impact on business Brazilian negotiations; (c) to throw

more light on Social Value Orientation as a dispositional factor and its impact on business

Brazilian negotiations; (d) to investigate in which meaning the findings are transferable.

Figure 8 depicts the Business Negotiation Conceptual Framework, as follows:

Business Negotiation Conceptual Framework (initial)
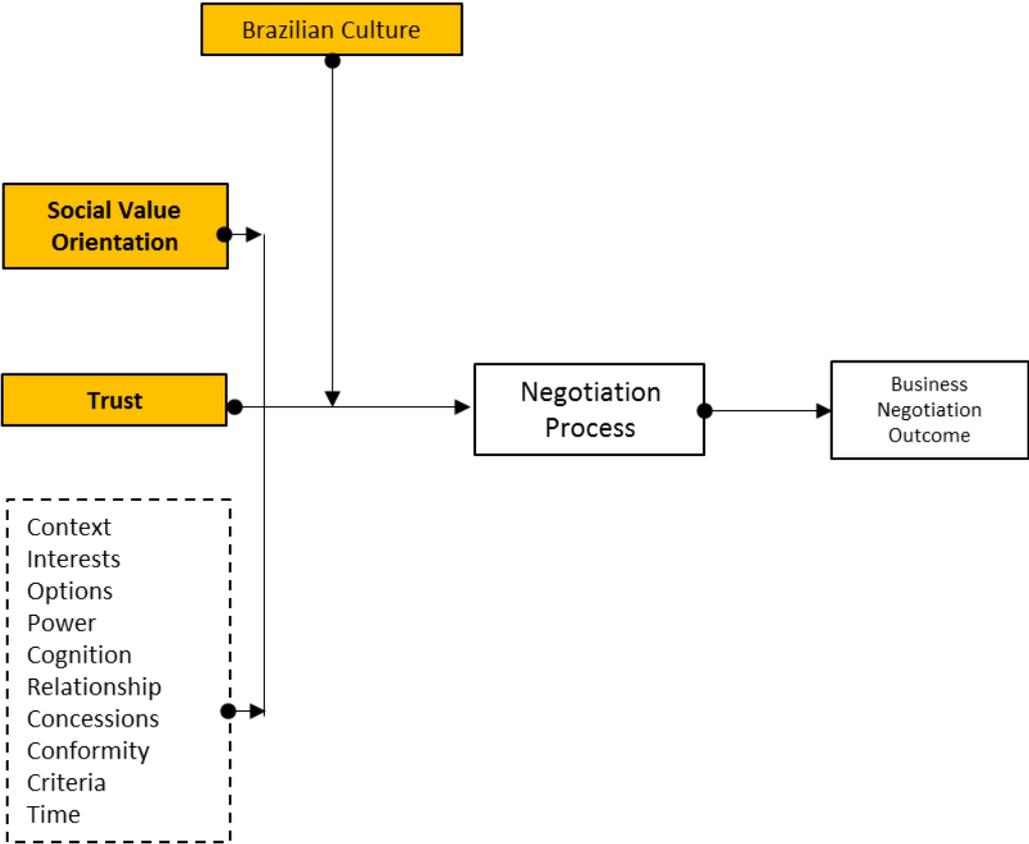
Figure 8 The Business Negotiation Conceptual Framework. Boxes with background colored represent

the factors studied in this research.

2.6- Research questions

Considering the gap in the literature review, our research questions are the followings:

2.6.1- What are the most important factors of success in Brazilian business negotiations?

Our research investigates the main dispositional factors of success in business negotiation in the Brazilian culture. The assumption here is that two important critical success factors gave birth to the following research questions involving the factors: Trust and Social Value Orientation.

An extensive body of research (Edelman, 2015; Olekalns & Adair, 2013, Gunia et al., 2014; Evans and Revelle, 2008; Lewicki, Tomlinson & Gillespie, 2006) encouraged future researchers in investigating such factors. However, most of the subsequent works study these factors separately and, a great deal using quantitative methods. The present research is innovative in the sense that it gathers in the same body of work these two factors in the first study applied to Brazilian business culture, regarding Trust and Social Value Orientation, studied in the same research.

2.6.1.1- What is the importance of Trust in successful Brazilian business negotiations?

There is a great deal of attention on Trust, here investigated. Trust may be the starting point of the cooperative relationships (Deutsch, 1958), as well as the broken trust may represent the fall of the relationship (Lewicki & Bunker, 1996). Trust, as mentioned earlier, is a "social lubricant", a positive expectation on a predictable future-oriented behavior (Van Lange, 2015; Balliet & Van Lange, 2013; Gunia, et al., 2014; Lewicki, McAllister & Bies,

1998; Rousseau, Sitkin, Burt, & Camerer, 1998; Mayer, Davis & Schoorman, 1995; Hardin, 1993; Williamson, 1981; Deutsch, 1958).

According to Hardin (1993) the "experience molds the psychology of trust" (p.508). Trust influences social relationships (Balliet & Van Lange, 2013). Therefore, Trust is investigated here as an important dispositional factor in Brazilian business negotiations.

2.6.1.2- What is the importance of Social Value Orientation in successful Brazilian business negotiations?

There is a great deal of attention on Social Value Orientation, regarding early studies (Blake & Mouton, 1964; Griesinger & Livingston, 1973; Pruitt & Rubin, 1986; Liebrand & McClintock, 1988; Van Lange, Otten, De Bruin & Joireman, 1997; Murphy, Ackermann & Handgraaf, 2011).

Our assumption is that the Complex Negotiation Matrix does not explain the negotiation process totally, because it does not encompass Trust and Social Value Orientation (here investigated), within the ten elements (see Figure 7), as mentioned in the Literature Review. The Complex Negotiation Matrix is a descriptive framework, a matrix, not a prescriptive one. The assumptions are that the two new factors (Trust and Social Value Orientation) here investigated to bring more light on the negotiation subject.

The research questions posed are deeply related to the Business Negotiation Conceptual Framework, as shown in Figure 8.

2.7- Academic and managerial relevance

The prior research draws a great deal of attention to quantitative measurements of Trust. Likert's scales are the primary data collection most used in quantitative scales (Gunia

et al., 2014; Evans & Revelle, 2008; Rotter, 1967, 1980; Yamagishi, 1988; Yamagishi and

Yamagishi, 1994). However, we assume that quantitative studies are not enough to explain

transformational or the evolutionary dispositional Trust, as discussed previously, because of

the limits of the method itself, where an interviewee is tied up to questions that are by

themselves too shallow to understand a complex phenomenon such as Trust (Lewicki,

Tomlinson & Gillespie, 2006). The same occurs with Social Value Orientation. We assume

that qualitatively approaches are necessary to understand such phenomena. Therefore, we

followed Lewicki, Tomlinson & Gillespie (2006), who recommended guidelines for future

research on Trust, regarding the use of qualitative studies, such as in-depth interviews, for

instance, since they have strong external validity, and then may be triangulated with surveys,

to reinforce internal validity.

  In this research, we adopted the qualitative in-depth interviews approach. Hence, the

present work attempts to fulfill this particular research gap foreseen in past studies, bringing

more light on the impact of Trust and Social Value Orientation in Brazilian business

negotiations.

  This study aggregates new finding on the subjects previously researched and deepens

the investigation on the qualitative level of Trust and Social Value Orientation here explored.

Although Trust and Social Value Orientation are hot topics in research and draw much

attention on recent works, there is a scarcity or virtually non-existence of works investigating

both Trust and Social Value Orientation in the same research involving these factors in a

business negotiation in the Brazilian culture. For example, the previous studies on diverse

cultures comparing Japanese and North American negotiators at the bargaining table showed

differences how nationals of both countries dealt with Trust (Yamagishi, 1988; Yamagishi

and Yamagishi, 1994). Therefore, this study throws more light on past findings and expands its external validity as an academic contribution to the field of research.

Therefore, as a contribution to science, this is the first academic research in which Social Value Orientation and Trust, considering the Brazilian culture, are investigated qualitatively in the same research.

Many codes of the individuals are affected by the negotiations, which are part of everyday life, and the interviewees or the parties to a negotiation are the following, not limited to managers, professors, students, employees, employers, clients, executives, directors, coaches, coaches, among others. Our revised Business Negotiation Conceptual Framework should help all different parties, to understand the key factors of a successful negotiation in the Brazilian context.

2.8- Summary

In this chapter, we presented a comprehensive literature review to understand the phenomenon of a business negotiation in the Brazilian context. Four different perspectives have been analyzed: a) the perspective of psychology, b) the perspective of psychometry, c) the perspective on game theory and d) the perspective of the negotiation. Furthermore, this chapter identified a gap in the Literature Review regarding the previous research, conducted on this topic. To fulfill this gap, we have introduced three important factors in our conceptual framework, such as Trust, Social Value Orientation, and the Brazilian culture. The next chapter will describe, explain and justify our research methods.

THIRD CHAPTER

3. Methodology

3.1- Introduction

This Section provides information on how this research was designed, and which methods were adopted in this qualitative, inductive, interpretive approach, idiographic and cross-sectional study, combined with an extensive literature review. To understand the complex phenomena of Brazilian business negotiations, 20 Behavioral Event Interviews were conducted, following a naturalistic approach.

The next paragraphs detail how the primary data were collected, coded, prepared and processed, to be further analyzed (see chapter four). This chapter contains the following sections: research philosophy and qualitative research (Section 3.2); study design (Section 3.3); primary data collection process (Section 3.4); secondary data collect process (Section 3.5); data collecting apparatus (Section 3.6); approaches to data analysis (Section 3.7); access,

ethics and informed consent (Section 3.8); triangulating data (Section 3.9), and chapter

summary (Section 3.10).

3.2- Research philosophy and qualitative research

We followed Grbich (2013), regarding the three major concerns in a given research.

First, (a) the data should come from the real world, or the *empirical aspect* of the research –

what factors are important in Brazilian business real-world negotiations; (b) to understand the

nature of data, or the *ontological aspect* of research –for instance, to understand Trust

between the negotiators it is necessary to understand the psychological dynamics of the

individuals at the bargaining table. Finally, (c) the data should be interpreted using the current

theories of knowledge, the *epistemological aspect* of research – in our case, theories

supporting both negotiation processes, as well as, the prior research on factors investigated,

such as Trust and Social Value Orientation. (Grbich, 2013, p.4).

Regarding worldviews or paradigms, we adopted an interpretive approach, following

Grbich (2013), and Saunders, Lewis, & Thornhill (2009). It was assumed that objective

knowledge and reality are not separated from thinking. The reality is "constructed jointly in

interaction by interviewer and interviewee through consensus. Knowledge is subjective,

collectively built, and shared based on the signs and symbols that are recognized by members

of a culture" (Grbich, 2013, p.7). Thus, the "we explored differences between humans in our

role as social actors. This emphasizes the difference between conducting research among

people rather than among objects, such as trucks and computers" (Saunders, Lewis, &

Thornhill, 2009, p. 116).

The qualitative research was considered more appropriate to attain our research purposes for two reasons: (a) we were interested in understanding the phenomena of business negotiations, here investigated, through interpretation, instead of quantification. Finally, (b) following Lewicki, Tomlinson & Gillespie's, (2006) arguments, in the sense that it is hard to accept that a complex phenomenon like Trust, for instance, can be captured in a single quantitative study, using a questionnaire based on a Likert scale.

Following Saunders, Lewis & Thornhill (2009), and Grbich (2013) in recognizing the limitations to interpretations of the reality: (a) subjectivity, or the researcher view interfering in the process; (b) intersubjectivity, "reconstruction of views through interaction with others" (Grbich, 2013, p.7). To avoid such limitations, we adopted a critical view and inspected the data using four different triangulation approaches (see Section 3.9).

Regarding our methodological choices, it was performed a cross-sectional study (Kalat, 2011, p.159), and idiographic approach, that the individuals were studied intensively, in opposition to nomothetic approach, which "seeks general laws about various aspects of the personality" (Kalat, 2011, p.514).

Following Frey, Botan, and Kreps (1999), in-depth interviews were conducted using a naturalistic approach, which has three main assumptions: (a) phenomena should be investigated in the innate context; (b) phenomenology, i.e., the idea of analysis without any bias or pre-conceived ideas, and (c) interpretive nature or the idea of the explanation is originated with the researcher of a given researched phenomenon. In practice, the interviewees do not have the smallest idea about the factors under investigation (Saunders, Lewis & Thornhill, 2009).

According to George, Jones, Gareth & Gonzalez (1998), the causes of the affects are: (a) individual differences; (b) contextual factors and (c) cross-cultural differences. Prior

researchers point affects as a moderator factor, regarding the negotiation process (Olekalns & Adair, 2013). We acknowledge the importance of the causes of the affects in the negotiation process and drive our attention to Brazilian cultural context, here investigated as a moderator factor.

However, the affects are not studied in the present study, because we are interested in the quality of the data gathered, not its recency (Miles, Huberman & Saldaña, 2014). Affects (emotions and moods) should be investigated at the moment they are manifested, displayed, by direct observation, because the interviewees simply may not realize or remember the way the felt in a particular negotiation. There is also the risk of the interviewees to fall for the social desirability bias, or the interviewee is answering what is morally accepted, not what happened.

Direct observation also should involve video recording, to assess body or facial expressions (Ekman & Davidson, 1994), and be evaluated by a reliable and validated instrument, such as the PANAS scale, for instance (Miles, Huberman & Saldaña, 2014).

Direct observation also requires the physical presence of the investigator at the negotiations. The cases narrated may not be the most relevant cases investigated, nor the most significant deals negotiated. Consequently, we would be limited to the most recent facts, not necessarily the most important ones, which we are interested.

We followed Miles, Huberman & Saldaña (2014), and adopted for this research, the in-depth qualitative interviews conducted, adopting a naturalistic way, as the primary data collection method used (see chapter three). We gathered high-quality data, through interviewing the experts on the subject, regardless its recency.

Furthermore, the use of scales could jeopardize the adopted naturalistic approach because it would certainly provide a clue about the research topic under investigation. Therefore, we chose not to investigate affects in this study for the reasons mentioned.

Finally, we did not study one important aspect that influences Affects in negotiations: time constraints. For instance, the less time one has to negotiate, the most anxious one may become (Lewicki, Barry & Saunders, 2010; Thompson, 1990). We did not study the impact of time constraints on negotiations for two reasons. First, this is a cross-sectional study, not a longitudinal one, in which we could observe the phenomenon of negotiation throughout time. The second is also valid for the study of affects combined with time constraints: direct observation is suitable for this type of analysis. Once more, we are interested in the quality of data gathered, not its recency.

As discussed in the previous paragraphs, our research strategy was focused on gathering high-quality data, regardless its recency. The quality of the answers, not the most recent facts is our research aim. Therefore, we decided not to investigate Affects (emotions and moods) in this research. As an illustration, MSSITHE001 (interview #1.2, failure case), described the efforts to build a power plant that were unsuccessful. This case occurred 24 years ago, but its impacts on the Northeastern Brazilian economy are felt still today. Although the case happened almost a quarter of a century ago, it is extremely important to the Brazilian History. However, it is hard to remember precisely what moods, feeling and emotions (affects), MSSITHE001 felt during the overall negotiations that lasted almost one year.

Finally, the use of scales could give the interviewee a clue about the topic under study, and therefore, put under risk the naturalistic approach adopted.

3.3- The study design

This Section presents the qualitative research structure and design used. First, the qualitative interviews approach are discussed (Section 3.3.1), including the Critical Incident Technique (Section 3.3.1.1), and the Behavioral Event Interview (Section 3.3.1.2). Second, the research context (Section 3.3.2), including the local of the interviews (Section 3.3.2.1); the interview timing and languages (Section 3.3.2.2), the preparation for the interviews, and the warm-up questions (Section 3.3.2.3) are presented.

3.3.1- The Qualitative Interviews approach

In-depth interviews are important in qualitative research (Myers & Newman, 2007). They are supported by Goffman's Dramaturgical theory (1959), that the whole interview process in seen as a drama. Goffman uses theater analogies to investigate social interactions, defined as

> The reciprocal influence of individuals upon one another's actions when in one another's immediate physical presence'. Performance is defined as 'all the activity of a given interviewee on a given occasion which serves to influence in any way any of the other interviewees (Goffman, 1959, p. 26).

In the dramaturgical theory, like in a drama, there are: (a) actors (individuals or groups) who perform on a (b) stage with all sort of settings and social situations arranged for the interview, and who perform on a (c) script (structured, semi-structured or even unstructured). There are also (d) audiences, such as interviewer, interviewee, facilitators, monitors, observers and the interviewees. (e) Entries, like the ways to start the interview (for

instance, with warm-up questions); (f) exists, the end of the interview, and (g) performances, during the interview process. As mentioned in chapter two, interviews, however, are artificial situations, according to Hermanns (2004), because they involve a parlance between two strangers. The disadvantages are, among others: (a) to rely on memory can bring imprecise statements to the research; (b) the interviewees may feel embarrassed when remembering facts or due to the interviewer's presence; (c) one incident may not be very representative of the everyday situation (Hermanns, 2004). We followed Yin (2009) regarding in-depth interviews:

> You can ask key interviewees about the facts of a matter as well as their opinions about events. In some situations, you may even ask the interviewees to propose her or his own insights into certain occurrences and may use such propositions as the basis for further inquiry. The "interview" may therefore take place over an extended period of time, not just a single sitting (p.107).

We followed Myers & Newman (2007) and adopted the semi-structure interview because it gave us some freedom to make questions regarding the situational context. We also adopted guidelines for conducting the interviews suggested by Myers & Newman (2007). We situated (a) the researcher as an actor, "because the interview is a social encounter and the data gathered from interviews are idiographic, the interviewer should situate themselves as well as the interviewee" (Myers & Newman, 2007, p.16). (b) The social dissonance was minimized through preparing the interview to let the interviewee as comfortable as possible, generally managing "first impressions, dressing appropriately, and using the suitable language/jargon" (Myers & Newman, 2007, p.16). (c) The interviewees were invited to different rank positions to avoid elite bias. (d) everyone is considered as an interpreter. (e)

questions mirrored answers. (f) The availability of interviewees was taken into consideration, and (g) the strict confidentiality was assured to all the interviewees.

Qualitative interview, despite its investigative value, is not perfect. There are some cognitive biases and pitfalls to be overcome, according to Myers and Newman (2007); Marlowe (1960); Miles, Huberman, & Saldaña (2014).

Strategies were devised to attenuate some cognitive biases, as follows: (a) *the Elite bias.* Following Myers & Newman (2007) interviewing only high-position employees was avoided. The sampling criteria included the top, high, middle and low-level employees; (b) *the Hawthorne effect,* or a phenomenon where persons change their behavior in response to a fact, regarding the workplace, instead of responding according to their nature (Myers & Newman, 2007). A naturalistic approach was employed, in which interviewees did not have any information regarding the purposes of the research. (c) The *Social Desirability Bias* (SDB) that the interviewees may answer questions in a way morally or socially acceptable by others (Marlowe, 1960).

In this case, the ways to avoid Social Desirability Bias were the following: (c.1) keeping the confidentiality through formal commitment and signature of information consent forms; (c.2) considering data only after interviewee's final approval; (c.3) allowing interview interruption at any time. Finally, we built (c.4) a healthy environment, in which the interviewee felt comfortable. Last, we tried to avoid (d) *the ambiguity of language*, recognizing that in extreme cases, the "dramaturgical model could lead to unethical behavior" (Myers & Newman, 2007, p.23).

Jargons were avoided; we restated, rephrased or changed questions, as many times as necessary, to make them clear to the interviewees.

Lewicki, Tomlinson & Gillespie, (2006) also posited that longitudinal qualitative studies on trust should be investigated, such as (a) qualitative in-depth interviews; (b) the Critical Incident Technique (consequently the Behavioral Event Interview), (c) case studies and communication analysis. In sum, Lewicki, Tomlinson & Gillespie (2006) pointed out qualitative research as paramount:

> Therefore, we encourage the researchers to consider employing complementary methods. Promising qualitative methods that are particularly suitable for tracking relationships over time and assessing the dynamics and development of trust (…). Such qualitative methods have high external validity and allow insight into the way that trust is socially and subjectively constructed (Lewicki, Tomlinson & Gillespie, 2006, p. 1015).

Nevertheless, the disadvantages of the methods used to reduce biases are: (a) the interviewer may forget some details, even in good faith. (b) The interviewee may omit some details because of personal convenience. (c) The interviewer may describe the facts as they should happen not the way they occurred. (c) In the worst case scenario, the interviewee may deliberately lie about the events described (Miles Huberman & Saldaña, 2014; Myers & Newman, 2007).

Next, we continued to the previous research to describe Trust and Social Value Orientation, when we decided to adopt in-depth qualitative interviews, such as the Behavioral Event Interview, as a primary source of data collection approach.

Finally, it is important to understand the offspring of the Behavioral Event Interview, as shown in the next Section:

3.3.1.1- Critical Incident Technique

In the present research, the primary data collect method used was qualitative in-depth interview utilizing the Behavioral Event Interview technique (see Section 3.3.1.2), which was an evolution of a previous method called the Critical Incident Technique, devised by Flanagan (1954).

The Critical Incident Technique is an investigative approach, used for data collection and further analysis of the human behavior related to the situation involved. The Critical Incident Technique was created in the 1940s by the North American psychologist John Clemans Flanagan (1906-1996) and first published in 1954. Flanagan was a pioneer in the armed air force's psychology and a Harvard doctorate since 1934. He tested pilots' aptitude for the air combat missions in the World War II and provided a consistent approach that involved some real case scenario experiences (Hughes, 2012). The Critical Incident Technique involved critical incidents, turning points, crisis or significant instances on a given activity, in which its constituents had participated. Similarities, differences, patterns can emerge from the Critical Incident Technique usage, to discover the reason or how the person engaged in such activity (Hughes, 2012).

The Critical Incident Technique has been revised and adapted to the different circumstances. The Critical Incident Technique inspired later Behavioral Event Interview, which conserves, a similar qualitative research structure (Delorme, 2007; McLelland, 1961, 1973; Dailey, 1971; Spencer & Spencer, 1993). Therefore, the Behavioral Event Interview is the primary data collection method used for this research, and it is adequate considering the current research goals. In the Behavioral Event Interview, it is up to the researcher to capture the important details about the investigation conducted through cases narrated.

3.3.1.2 – The Behavioral Event Interview

The Behavioral Event Interview is a technique developed by David McLelland (1917-1998), Psychologist at Harvard University and also the creator of Need Theory and Thematic Apperception Test (McLelland, 1973, 1976). The Behavioral Event Interview is a technique rooted in Flanagan's Critical Incident Technique (Flanagan, 1954), which is focused on the incident or event, whereas Behavioral Event Interview is concerned with the person who did it. The Behavioral Event Interview was designed to identify the competencies needed to perform a job in a proper manner (McLelland, 1973, 1976; Spencer & Spencer, 1993).

The advantages of the Behavioral Event Interview are: (a) empirical identification of competencies beyond or different from those generated by the other data collection methods. (b) Precision about competencies; (c) identification of algorithms; (d) freedom from racial, gender, and cultural bias; (e) generation of data for assessment, training, and career pathing (Spencer & Spencer, 1993, pp. 98-99). The disadvantages of the Behavioral Event Interview method are (f) time and expense; (g) expertise requirements (h) missed job tasks; (i) impractical for analysis of many jobs (Spencer & Spencer, 1993, pp. 98-99).

Therefore, the Behavioral Event Interview technique was suitable for the present thesis, because it is concerned with the behavior and the person than the fact and the critical incident itself since we are investigating a social interaction process.

Some activities, particularly the behaviors, are noticeable. For example, two people negotiating at the negotiation table: both are talkative, speak aloud, both use their arms to reinforce non-verbal language and so on. This behavior (extraversion) is easily observable, therefore, denominated the overt behavior. Some behaviors are not observable because they occur within the individual. As an illustration, the impressions and the feelings of the two

persons mentioned earlier. The covert behaviors are the non-observable behaviors (Kaplan & Saccuzzo, 2009). Therefore, in this research, we focused on overt or the observable behaviors.

3.3.2 - The research context

This Section presents the research content. The interviews details were presented, such as time of interview and languages used (Section 3.3.2.1). Warm-up questions were prepared regarding the qualitative interviews (Section 3.3.2.2).

3.3.2.1 - Interviews timing and languages

Initially, the interviews were planned to last between 45 and 65 minutes, depending on the availability of the interviewees. Important to say, all interviews should primarily be conducted respecting the language of the interviewee, in this case, Portuguese. However, some interviewees felt comfortable to dispense the interview in English. This way, there was no objections to this choice; when available, data was collected directly from English to preserve authors' voice (Saldaña, 2013).

One interviewer conducted all the 20 interviews. The interviews' timing varied according to some factors, not restricted to (a) subject complexity; (b) speed of the interviewee's speech (some people may talk faster than others, be more verbose than others); (c) level of involvement and interaction between the interviewee and the interviewer (some interviewees felt more comfortable than others in front of the interviewer); (d) cognitive process of recalling data.

3.3.2.2 - Preparation for the interviews

All the interviewees received, read, fulfilled and signed three documents before the interview starts: (a) the Interview Invitation and Consent form – English (see Appendix A); (b) the Interview Invitation and Consent form – Portuguese (see Appendix B). Finally, (c) the Interviewee's ethnographic registration form (see Appendix D).

3.4 – The primary data collection Process

This Section presents the methods and strategies used to collect primary data including the following: invitations protocol (Section 3.4.1); interviews protocol and structure (Section 3.4.2); ethnographic data collection protocol (Section 3.4.3). Finally, recording apparatus (Section 3.4.4).

3.4.1 - Invitations protocol

The interviewees (N=20) were contacted primarily by phone call or personal, face-to-face meetings, followed by formal e-mail invitation, both English and Portuguese (see Appendix E). Twenty e-mail invitations were sent with 100 % response rate.

The e-mails sent to the interviewees contained basic information about the research, declarations of scientific purposes and non-commercial use, as well as information disclosure policy, both in English and in Portuguese.

3.4.2– Interviews protocol and structure

Appendix C shows the interview protocol used in this research, which contains the full 20 units of analysis, semi-structured interview plan, and the preliminary interview questions.

First, structured interviews were rejected as a strategy because they do not provide a degree of freedom in making questions naturally, throughout the interview, which limits the interviewer to the script previously designed and, therefore, valuable information may not be part of the interview. Second, unstructured interviews were rejected as a collecting the primary data strategy too, because they provide no guidelines to the interviewer, especially using the Behavioral Event Interview, incompatible with unstructured interviews. Therefore, the choice of semi-structured interview format provided a guideline to the interviewer and also a degree of freedom in making questions considered important at the moment of the interview.

In practice, semi-structured interviews were chosen to provide a friendlier and open interview atmosphere. Therefore, the interviewee felt more comfortable, and the interviewer could pose additional questions freely, as a natural part of the conversation, which proved to be effective in 100 % of the interviews conducted.

The phase of interview preparation involved pre-research of the interviewee's company main activities, the role of the interviewee inside the organization, the history of business and all the other possibly relevant information destined to create a positive and necessary atmosphere for the interview. This preparation included warm-up questions in the interviews (3-5 minutes); the purpose was to make the interviewee feel comfortable and to assure confidentiality:

a) Data collection regarding the interviewees and their characteristics and data about the company (3 - 5 minutes): gender, age group, position in their organization, primary

responsibilities, experience in the negotiation, the location of their company, their

size, and nature of the activities.

b) Event # 1 (positive outcome or result) (10-20 minutes):

   i. First question: ask the interviewee about the selection of a positive event, in

      which he was involved and describe it with all the necessary details (5 - 10

      minutes) including the role that he played himself in the event described.

   ii. Second question: identifying what were the key factors explaining the success

      of the negotiation (5-6 minutes), i.e. using the naturalistic approach described

      earlier, or never mentioning to the interviewee any information about the

      conceptual framework part of the research. Questions not restricted to: What

      was missing? What happened? Why?

   iii. Third question: asking the interviewee about the interests of all parties

      involved and what the interviewees would have done different if they had to

      negotiate again (2 - 3 minutes).

c) Event # 2 (negative outcome) (10-20 minutes):

   i. First question: ask the interviewee to select an adverse event, in which he was

      involved and describe it with all the necessary details (5 - 10 minutes)

      including the role that he played himself in the situation described.

   ii. Second question: identifying what were the key factors explaining the failure

      or lack of success of the negotiation (5-6 minutes), using the naturalistic

      approach described earlier, i.e. never mentioning to the interviewee any

      information about the conceptual framework part of the research. Questions

      not restricted to: What was missing? What happened? Why?

      iii.   Third question: asking the interviewee about the interests of all the parties involved and what the interviewee would have done if he would do again the negotiation (2 - 3 minutes).

  d) In the case of more time with the interviewee, a third event (positive or negative) will be selected, or derived from the own interviewee responses or the new interviewer's questions that are coming into consideration at the moment of the interview (10-20 minutes).

  e) Final comments, interview debriefing and thanks to the interviewee (1-2 minutes).

3.4.3 – Ethnographic data collection protocol

All the 20 interviewees fulfilled, dated and signed an ethnographic data collection form, before the interview starts, as part of the interview protocol described earlier in the present research (see Appendix D). Contact information were collected from the interviewees' (Name, e-mail address, and interviewee's telephone number - see Appendix Q).

3.5- The secondary data collection process

This Section presents the secondary data collection process as well as criteria for theme selection. The search was conducted through several databases including Bankscope, Business Source Complete, Euromonitor International, Hein online, EBSCO, Emerald, JStore, Lexis Nexis, and ProQuest. Fundação Getulio Vargas Library database, at Rio de Janeiro, Brazil, was consulted on October 18, 2015, 23:08 h, local time (FGV, 2015).

3.5.1- Keywords search criteria

The following criteria were used when searching the academic databases mentioned in Section 3.5, which include articles, academic journals, periodicals, and theses: (a) search for relevance and (b) from the newest to the oldest. In the (c) advanced search options, searched for 'business and management' and 'psychology' (c) keywords consulted: Trust, Social Value Orientation; *Brazilian; business; negotiation;* and (d) keywords consulted using Boolean operator 'AND' (Trust and Social Value Orientation AND Brazilian AND business AND negotiation). Boolean search results, i.e., titles and/or abstracts (Sections #6 and #7, see Table 11) were double-checked, and no single qualitative study, including academic articles, theses, and books investigating the same phenomena with the respective dispositional factors researched within Brazilian scenario at the moment of the consulting. The results of our search are shown in Table 9, as follows:

Table 9

Academic databases search by Keyword

#	Keyword	Search results
1	trust	10,323,547
2	Social value orientation	1,475,681
3	Brazilian	454,045
4	Business	46,141,043
5	Negotiation	4,110,149
6	Boolean AND search: items 1 to 5	15,189
7	ProQuest database Boolean AND search: items 1 to 5	10,145

Note: results obtained on October 18, 2015, 23:08 h at Fundação Getulio Vargas database Library, Rio de Janeiro, Brazil. Source: Dias and Delorme, 2015

3.6 – Data collecting apparatus

Audio recording apparatus (Section 3.6.1); video recording apparatus (Section 3.6.2) and video support apparatus (Section 3.6.3) were used in this work.

3.6.1- Audio recording apparatus

For audio recording, a Dictaphone Sony audio recorder model ICD-PX312, was used, which records 192 kbps quality sound, 2 GB of built-in and a card slot for micro SD-card expansible memory. This audio recorder has a noise cut pro function, which helped a lot and in some cases, neutralized almost completely external ambient noises. This device is user-friendly, supplied with 2 AA batteries, which is helpful for a long time interviews and the output are the audio format mp3. Its small dimensions make it pocket portable (2.1 x 3.8 x 11.4 cm) and are appropriate for the interviewing task.

3.6.2 - Video recording apparatus

Some of the interviews were audio and video recorded, mostly due to space limitations, light restrictions (in more than one ambient light was too weak to proceed the interview), or, in some cases, respecting the interviewee choice for audio instead of both audio and video recorded.

For the purpose of video interviews, a digital camera, Canon Powershot SX 500 IS, 16 Megapixel camera, with lens 30 x 15, High Definition (HD), an optical zoom of 30 x. The IS system permits image stability under any circumstances, according to the manufacturer (Canon). It also has a 7.5 cm LCD (Liquid Cristal Display), which allows higher control over the scene to be video recorded and user-friendly automatic adjustments.

3.6.3 - Video support apparatus

For the purpose of video recording, a Velbon, Videomate 300 light weight (300 g) video tripod with a pinhead. Its light weight and retractable tripods facilitated transportation, attaching the camera firmly to the tripod. Its extended height is 57' (approximately 1. 42 m).

3.6.4 - Physical and technological conditions of the interviews

There were no restrictions regarding the local of the interview, which were conducted in quiet places when possible, with low or no significant ambient noise or other disturbance factors, such as people talking, and mobiles ringing. When the interview took place in another type of environment, the quality of the audio recording was preserved, due to the choice of locations with acceptable background noise, i.e. noise that could not interfere with the narrative comprehension. In all the circumstances, the interviewees received instructions to stop the recording process at any time during the interview, in case they felt not comfortable.

Regarding the equipment, the more the interviews were conducted, the more familiar with equipment and more focused on the issues being discussed by the interviewees, instead of paying too much attention to equipment operation.

3.7- Approaches to sampling, data preparation, data processing and Coding

This Section presents the sampling methods (Section 3.7.1), Data processing and preparation: personal field records and interviews validation (Section 3.7.2), and Coding Process (Section 3.7.3), as follows:

3.7.1 - Sampling methods

The methods adopted in the present research was purposive sampling, which encompassed the following methods: criterion sampling (Section 3.7.1.1); convenience sampling (Section 3.7.1.2) and snowballing sampling (Section 3.7.1.3). Finally, the rationale behind the criteria selection (Section 3.7.1.4) is presented. Mainly, the criterion sampling was used before the interviews' start and kept throughout the research. Convenience and snowballing criteria were used, as a way of circumstantial adaptation to the challenges and pitfalls that came up from the local environment. Figure 10 depicts the hierarchy of sampling methods used in this research.

Therefore, in the present research were investigated successful Brazilian business negotiations. One of the reasons is that samples in qualitative studies were usually small ones, "nested in their context and studied in-depth - unlike the quantitative researchers, who aim for larger amounts of context-stripped cases and seek statistical significance" (Miles and Huberman, 1994, p. 27). Samples in qualitative research are also generally purposive instead of random (Morse, 1989; Kuzel, 1992).

The present research used theory based sample, according to the typology of sampling strategies in qualitative inquiry, that a theoretical construct is elaborated and examined through examples investigated (Miles, Huberman & Saldaña, 2014; Kuzel, 1992). The interviewees were chosen amongst upper, mid and lower level employment status. The number of males was 15, and the number of females was 5. The types of the negotiations varied and were conducted in the different industries, commerce, services. Furthermore, distinct dimensions within or without the workplace were investigated to encompass the variety of business negotiations.

3.7.1.1- Criterion sampling

For this purpose, the following criteria were adopted: (a) nationality criterion: Brazilian negotiations; (b) type of the negotiations: business negotiations. (c) Gender criterion: male of female; (d) age criterion: were considered the negotiators more than 25. (e) Experience in business workplace negotiations' criterion: five years of professional experience in negotiations, at least. (f) The level of education criterion: any level of education, regardless (g) job position criterion: different professional positions to avoid elite bias (for instance, one interviewee is a director holding a Ph.D. in Chemistry while the other party is a sales manager undergraduate in Marketing). (h) The business negotiation diversity criterion: diverse business negotiations are encompassed, such as project negotiations, the government x private negotiations, two or multiple-party negotiations, for instance.   Finally, (i) the workplace criterion: the interviews should be conducted preferentially outside the workplace. The rationale behind the choices is presented in the following Section 3.7.1.4.

3.7.1.2- Convenience sampling

This research adopted purposive, convenient sample. The interviewees were invited mostly based upon their availability, since the higher executives usually have a narrow agenda to conciliate with the research aims and deadlines, therefore, the most difficult to interview. Nevertheless, many efforts were taken to conduct interviews with high-rank officials and executives. In this research, however, the convenient sample was restricted to the criterion sampling described in item 3.7.1.1.

3.7.1.3- Snowballing sampling

The snowballing technique sampling was adopted, in which one interviewee indicates other interviewees, as described by Ellsberg & Heise (2005). Following Yin (2009) regarding snowballing: "The interviewee also can suggest other persons for you to interview, as well as other sources of evidence" (p.107).

In some cases, the interviewer invited interviewee's acquaintances, following their indication. This technique was useful when one does not know sources from whom reliable information could be obtained. Therefore, the investigation through snowballing technique was used here because: (b) the researcher did not know the high-potential future interviewees. They were introduced by the interviewees' acquaintances (Ellsberg & Heise, 2005).

3.7.1.4- Rationale behind the sampling criteria

The business negotiation's criteria included, for instance: salary negotiations; replacement job negotiations, procurement negotiations; merger and acquisitions; distributive and integrative negotiations; buying and selling negotiations. It was also included private companies and governmental or the non–governmental organizations.

Peace-making, Conflict Management, Mediation, Arbitration, are examples of negotiations that are not the scope of this research and thus, were not considered. (c) The gender criterion was chosen to provide indistinct opportunities to males and females, without imposing restrictions to gender. The assumption behind the choice is: the wealthier the gender diversity, the better the richness of data collected; age criterion (d) and time experience criterion (e) were chosen 25 years old with at least five years of practice in business negotiations.

The level of education criterion (f) and the position job criterion (g) were chosen to avoid *elite bias* (Myers & Newman, 2007). It was selected the criterion (h) business negotiation type under the following assumption: the better the diversity of subjects, outcomes and the parties involved, the richer were the negotiations presented. It was chosen the criterion (i) workplace because there is a large body of evidence reporting that business negotiations may occur within, without or neutral workplaces (Fisher & Ury, 1981) and to avoid employee/interviewee possible embarrassments.

According to Miles, Huberman & Saldaña (2014), the interviewees should also be chosen in compliance with the following criteria to: (j) be reliable sources of information; (k) know currently the situations described, and (l) occupy different roles, positions, to provide "somewhat differing perspectives" (Miles, Huberman & Saldaña, 2014, p.260).

3.7.2- Data processing and preparation: personal field records and interviews validation

According to Miles, Huberman & Saldaña (2014), data should be processed before analysis. The following data were collected out of N=20 interviews through: (a) audio recordings, (b) video recordings, and (c) field notes. After data collection, the personal field records were prepared to be processed.

The first step was transcribing and when necessary, translating all the data into English, using Microsoft Word text editor, to condense all the data into files, easy to be retrieved. Then, immediately Observer Comments (OC) were inserted throughout the entire texts, to make further analysis easier by retrieving the first impressions, field notes, and perceptions about the nonverbal communication.

In sum, all the recorded data was converted into expanded write-ups through transcription. According to Miles, Huberman & Saldaña (2014), an expanded write-up is "an intelligible product for anyone, not just for the field-worker. It can be edited for accuracy, commented or coded, and analyzed using several methods" (p.71).

Observer Comments were written in brackets and italics (e.g.: *(OC: showing signs of discomfort)* – interview #7.2), to differentiate them, from the raw text. Answers were organized line-by-line, to facilitate the further coding process.

Next, all the language adjustments were performed to preserve and respect the interviewee's voice (Saldaña, 2013). To preserve meanings, data was triangulated (see the next Section 3.9), following Denzin (2001): three different questions about each new information were asked, at least, to: (a) deeply understand the subject from distinct perspectives; (b) search for inconsistencies and contradictions. Sometimes the meaning was not clear, and additional questions were asked to clarify any confusing point that could appear. That was the strategy used to neutralize all possible misunderstandings about the interview meanings.

Translations and transcriptions demanded an extra effort to double check all sentences. Each interview took approximately two consecutive days to be fully transcribed, translated and revised.

The amount of words written in all the 20 interviews, 139,202 (100 %), in which 57,595 (42 %) are in Portuguese and 81,407 (58 %) in English. The average words per interview were 1,445 in Portuguese, 2,035 in English, total average of 3,480 words, as depicted in Table 10, as follows:

Table 10

Amount of words per interview

#Interview	Portuguese	English	Total
Interview #1.1	3.580	3.575	7.155
Interview #1.2	3.439	3.388	6.827
Interview #2.1	1.941	1.938	3.879
Interview #2.2	3.273	3.234	6.507
Interview #3.1	2.782	1.687	4.469
Interview #3.2	3.627	3.576	7.203
Interview #4.1	625	707	1.332
Interview #4.2	1.396	1.518	2.914
Interview #5.1	958	965	1.923
Interview #5.2	1.812	1.961	3.773
Interview #6.1	2.847	2.951	5.798
Interview #6.2	1.766	1.823	3.589
Interview #7.1	2.682	2.800	5.482
Interview #7.2	2.444	2.874	5.318
Interview #8.1	2.659	2.674	5.333
Interview #8.2	1.964	2.134	4.098
Interview #9.1	2.571	2.578	5.149
Interview #9.2	1.509	1.496	3.005
Interview #10.1	0	1.735	1.735
Interview #10.2	0	1.539	1.539
Interview #11.1	2.371	2.432	4.803
Interview #11.2	1.520	1.580	3.100
Interview #12.1	0	1.430	1.430
Interview #12.2	0	1.045	1.045
Interview #13.1	0	1.303	1.303
Interview #13.2	0	1.428	1.428
Interview #14.1	0	1.784	1.784
Interview #14.2	0	706	706
Interview #15.1	1.618	1.710	3.328
Interview #15.2	1.152	1.127	2.279
Interview #16.1	0	1.621	1.621
Interview #16.2	0	1.548	1.548
Interview #17.1	0	2.256	2.256
Interview #17.2	0	2.251	2.251
Interview #18.1	2.422	2.504	4.926
Interview #18.2	1.689	1.756	3.445
Interview #19.1	0	3.079	3.079
Interview #19.2	0	1.649	1.649
Interview #20.1	2.123	2.110	4.233
Interview #20.2	3.025	2.935	5.960
Total	**57.795**	**81.407**	**139.202**
Average	**1.445**	**2.035**	**3.480**

Then, after first the transcription, and before sending the documents to interviewees,

the second revision started, inserting OCs when necessary and making adjustments,

comparing the original in Portuguese with the version in English.

The next step involved sending the transcripts to the interviewees for comments. After receiving the reviewed interviews, new adjustments were made, sometimes inserting additional Observation Comments (OC). For instance, interviewee #7 asked to replace the name of the current company by "the consulting company," after first revision.

After the first interviews, some adjustments were made regarding the interview techniques. For example, the interviewer realized he had to talk less and listen more because every single word should be transcribed, a time-consuming process.

Finally, the documents were sent (as previously agreed by the interviewees) to get their approval. They sent back the corrections, revised and submitted to them once again. After the final acceptance, the document was considered valid. The next step, the coding process is described in the subsequent Section, as follows:

3.7.3- Coding process

Following Schreier (2012), all the 20 interviews were coded (units of analysis) regarding the coding frame's characteristics: (a) unidimensionality; (b) mutual exclusiveness; (c) exhaustive process; and (d) saturation (p.71).

Starting with *(a) unidimensionality:* Trust and Social Value Orientation were analyzed separately (Saldaña, 2013; Miles, Huberman & Saldaña, 2014, Schreier, 2012). *(b) Mutual exclusiveness*: refer to dimensions of Trust and Social Value Orientation's sub-codes (see Table 15 to check the entire list), which are units of coding "assigned to one of these sub-codes only" (Schreier, 2012, p.75). *(c) Exhaustive process:* which means that each coding unit was assigned at least to one sub-code of our coding frame (Schreier, 2012). Table 16 shows the open codes used (Trust and Social Value Orientation), divided into seven sub-

codes or sub-codes (five sub-codes for TRUST (TR): TR-DTR, TR-DTBT, TR-CABT, TR-

KNBT, TR-IDBT (one sub-code added later, TR-COBT - see Section 4.4), and Social Value

Orientation: SVO-PSELF and SVO-PSOCIAL).

(d) *Saturation:* the sub-codes should be used "at least once" (Schreier, 2012). The

sub-codes mentioned in the item (c) were applied 245 times in the raw data (see Table 16).

The next Sections present the manual coding cycles (Saldaña, 2013): pre-coding cycle

(Section 3.7.3.1); first cycle coding (Section 3.7.3.2); second cycle coding (Section 3.7.3.3)

and third cycle coding (Section 3.7.3.4) as depicted in Table 11, as follows:

Table 11

Coding Cycles

Code type	Pre-coding	First Cycle Coding	Second Cycle Coding	Third Cycle Coding
Text highlighting	●			
Holistic Coding		●		
Attribute coding		●		
Structural coding		●		
Process coding		●		
In Vivo Coding		●		
Eclectic coding			●	
Pattern coding			●	
Open coding: TRUST				●
Open coding: SVO				●

Note : Adapted from Miles, Huberman and Saldaña, 2014; Saldaña 2013

Although there are many types of coding, Saldaña (2013) reports in his book *the*

Coding Manual for Qualitative Researchers, 32 different kinds of coding for a broad range of

application possibilities), some are more suitable for this work than others. The rationale and strategy adopted here about the coding process followed Saldaña's (2013) recommendations:

3.7.3.1- Pre-coding cycle

First passages of the text transcriptions were highlighted using different colors. Yellow was used to highlight Trust and light pink to highlight Social Value Orientation (proself or prosocial).

3.7.3.2- First cycle coding

The first cycle coding involved: (a) Attribute *coding*, (b) *Holistic coding,* (c) *Structural coding*, (d) *Process coding*, and (e) *In Vivo coding*, according to Saldaña (2013, p. 64). The codings were chosen according to the epistemological research questions, therefore, justifying the rationale behind the first cycle coding. (a) *Attribute coding* served to relate all relevant and manageable data about the interviewee, like ethnographic data, at the beginning of the data set "rather than embedded within it, of basic descriptive information" (Saldaña, 2013, p. 70). Interviewees' information like age, gender, birth location, among others, were organized in a way to facilitate a quick access to comprehensive interview data. (b) *Holistic coding* is a method applied to a large amount of data, instead of coding line by line, paragraph by paragraph. It is "a preparatory approach to a unit of data before a more detailed coding" (Miles, Huberman & Saldaña, 2014, p.77). (c) The *Structural coding* "applies a content-based or conceptual phrase representing a topic of inquiry to a segment of data that relates to a particular research question used to frame the interview" (MacQueen et al., 2008, p.124). It implies subdividing the interview in "chunks" each chunk related to a particular subject, a

structural one. (d) *Process coding*, also known as action coding uses gerunds (-ings) to denote action, ongoing process and is indicated by qualitative studies that involve interaction, ongoing action, and emotion (Miles, Huberman & Saldaña, 2014). The process code is suitable for this research that any negotiations described (both positive and negative outcomes) are or were an ongoing process. Finally, (e) *In Vivo coding* is also called *Verbatim* or *Inductive coding*, used here to "prioritize and honor the interviewee's voice' (Saldaña, 2013, p. 91). In practical terms, *In Vivo* coding proved to be extremely helpful to (a) search for patterns, (b) supporting the interviewer's interpretations, and (c) retrieving quotes, in an organized and comprehensible form (Saldaña, 2013).

3.7.3.3- Second Cycle Coding

In the second cycle, we used the following codes: (a) *Eclectic coding*, to refine the first cycle coding and (b) *Pattern coding*, to categorize data according to the research strategy (Saldaña, 2013, p. 64). In all phases, memos are written in two moments: during the transcription in the body of text (informative memos), and immediately after the conclusion of the interviews (analytic memos), in which interviewer's perceptions about the interviews conducted were written and then stored.

The first step was to look for all previous codes used in the first cycle and gather them in a single column, line by line. The possibility to make corrections on codes was granted, and respective numbers applied to them. Our impression was that the more the texts were revised in search for significant meanings, the more familiar they became. An impression felt, was that eclectic coding is a tremendous tool for summarizing and preparing data for the next task, pattern coding, because it gathered all previous codes used, in one single block.

Pattern coding gave an impression of how important the research question is. If it is not well constructed, or it is not in harmony with all the literature review in a way that makes sense, all the coding process, which is a Cartesian process (Saldaña, 2013), might reveal a wrong meaning, disconnected with the issues under investigation. When the pattern codes were used, for the first time we "felt" a synchronism between theory and data. The research made considerably more sense at this moment than before pattern coding, according to our perception. Therefore, pattern coding gives the researcher a broader perspective on the issues under investigation.

Then, the pattern codes were written on several pieces of paper and rearranged them in a way that made any sense. For instance, the factors investigated, Trust and Social Value Orientation, were present in all 20 interviews.

Next, the literature review was compared with the patterns found, and then initiated the third cycle coding, as follows:

3.7.3.4- Third Cycle coding

The third cycle used open coding, comparing literature review with findings and the previous cycle codes "Questioning the data to process and the codes that can be dimensionalized" (Grbich, 2013, p.83).

The first step was creating codes and sub-codes based on the literature review. The codes created were TRUST and SVO. The sub-codes created were, regarding (a) TRUST: TR-DT, TR-CABT, TR-KNBT, and TR-IDBT (see Table 12). Regarding (b) SVO: SVO-PSELF and SVO-PSOCIAL (see Table 13). The Section 4.2.1 details each code adopted.

Then, all the sub-codes were applied to the raw data. The third cycle coding gave a new perspective on the emerging underlying meanings regarding the factors analyzed because residual blocks of information were not categorized. Missing blocks drove our attention to the literature review in the search for the literature gaps, to be analyzed in chapter four.

3.7.4 - Qualitative analysis software and Microsoft Office software tools

After all the cycles are completed, the raw data were input in three computer software, respectively: MS Word (Section 3.7.4.1), MS Excel (Section 3.7.4.2) and the Computer Assisted Qualitative Data Analysis Software (CAQDAS) (Section 3.7.4.3).

3.7.4.1 - Microsoft Word – MS Word

MS Word was used here for writing up, transcribing and translating field notes and raw data, allowing texts be organized in a database;

3.7.4.2 - Microsoft Excel- MS Excel

MS Excel was used here for manual coding, to help to attach keywords to specific cells, to build matrices to facilitate further analysis.

3.7.4.3 – The Computer Assisted Qualitative Data Analysis Software (CAQDAS)

The CAQDAS used in the present case was the QR NVivo 11, a qualitative analysis software, following Miles and Huberman, 1994; and Bazeley, 2007. The functions *word frequency distribution* and *word cloud* were employed, as shown in the Section 4.3.4.

3.8 – Access, ethics, and informed consent

Qualitative interviews involved building mutual trust between the interviewer and the interviewee (Myers & Newman, 2007), which meant respecting the interviewee desire to participate in the interview in a comfortable way, within or without the workplace.

All the interviewees were informed both in the invitation e-mail and disclosure form with the consent declaration about same content - both in Portuguese and English (see the Appendices A and B). Warm-up questions were included. Therefore, explanations dispensed to the interviewee regarded the following ethical issues:

(a) There were no commercial purposes involved;

(b) The research was purely academic;

(c) The privacy and information disclosure were fully assured;

(d) To all the 20 interviewees, comfort was assured: discomforts or risks associated with completing the qualitative in-depth interview were minimal or virtually non-existent. They were informed about no hazardous activities that could put in danger their lives;

(e) All the interviewees were invited to participate voluntarily, and absolutely no financial transaction was involved. In other words, the interviewees did not pay anything at all in exchange for participation in this research;

 (f) If, for some particular reason, the interviewees felt uncomfortable in any way during the interview session, it was assured, with anticipation, the right to interrupt the interview at any moment, for any particular reason.

(g) The interviewees agreed to be recorded (video or audio or both), as a mandatory participation condition in this study. The interviewees had their right of stopping the recording process at any time during the interview assured, to respect the interviewee's opinion about disclosure information.

(h) Information about the confidentiality of data gathered (ethnographic and information disclosure consents) was kept safe.

(i) Faculty and other members of their *campi* did not have any contact with the primary data gathered. This precaution was taken to prevent individual comments from having any possible negative repercussions.

(k) Copies of the transcripts were sent, either in Portuguese and English languages or just in English (when applicable to the interviewees. The interviewees were asked to validate the content of the transcript of their interview.

3.9- Triangulating data

The data triangulation means that "at least three independent measures of it agree with it or, at least, do not contradict" (Miles, Huberman, & Saldaña, 2014, p.299). According to Yin (2009), triangulation is a "rationale for using multiple sources of evidence" (p.114).

According to Denzin (2001) data, triangulating relies on the following approaches: (a) *data source*, which means selecting different people or places to investigate. Triangulating by the (b) *method*, using distinct types of methods to investigate data; (c) *researcher,* which means more than one researcher to check double all the findings; (d) *theory,* or comparing findings with the body of literature review based on contemporary concepts and theory. Miles, Huberman & Saldaña (2014, p.299) added (e) *data type*, which represents the different types of data, for instance, audio recordings, video recordings, analytic memos, and so on. Following Yin (2009), who encourages information collecting from multiple sources (p.116).In this research, data sources were triangulated, as well as methods, theories, and data

type. The only triangulation method not used was the researcher one, because only one analyst prepared and processed the raw data.

Data source were triangulated in selecting different people to investigate, such as top, high, intermediate and low-level professionals. We also intended to avoid the Elite bias and the Hawthorne Effect.

Methods were triangulated using different approaches to analyzing data, such as the Content Analysis, the Causal Chain Analysis, the Descriptive Semiotics Analysis, and the Cluster Analysis, among others.

Theories were triangulated by selecting seven supportive theories to the negotiation process (Dramaturgical, Social Exchange, Rational Choice, Bargaining, Game, Affect and Prospect Theories), through four perspectives (Game Theory, Psychology, Psychometrics, and Negotiation).

Data types were triangulated by using audio recordings, video recordings, analytic memos, and personal field notes, all of them stored in digital format (audio, video and text files).

3.10- Summary

In this chapter, information were provided by our research philosophy and the strategies of the present qualitative research, inductive approach, interpretive, naturalistic, situational, reflexive, with emergent flexibility, case-oriented, with emphasis on validity (Schreier, 2012, p.21), designed to understand complex phenomena (Lewicki, Tomlinson & Gillespie, 2006). Finally, the strategies for access, ethics, and informed consent data collection, coding, and triangulating data were presented. The next chapter will present an analysis and a discussion of our findings.

FOURTH CHAPTER

4. Findings and Analysis

4.1- Introduction

This chapter presents our findings in this research, and describes the analysis of the data collected in 20 units of analysis (N=20 qualitative interviews). The findings relate to the research questions that guided the present work. Data were analyzed to explore what factors are important to the successful Brazilian business negotiations, especially Trust and Social Value Orientation. It was found an existing gap in the literature review regarding Trust and then analyzed it with the objective to determine a set of the best practices and recommendations concerning the success of business negotiations in Brazil and the future research (chapters five and six).

Executives with an average of 16 years of experience in Brazilian business negotiations were interviewed. The interviews were conducted from August 4th to October 8th, 2015 in three Brazilian regions: Southeastern Region (Minas Gerais and Rio de Janeiro) and Center western region (Brasília, Distrito Federal – DF (Federal District, Brazil's capital). All the interviews met the required criteria as discussed in chapter three.

In chapter four we present the literature review and research gap (Section 4.2), findings (Section 4.3), analysis (Section 4.4), and chapter summary (Section 4.5).

4.2- The literature review research gap

In the following Section, we describe Trust and Social Value Orientation existing typologies, as well as the existing research gap briefly. We start by the literature review on Trust (Section 4.2.1), and then, on Social Value Orientation (Section 4.2.2).

4.2.1- Trust literature review and research gap findings

In chapter two it was discussed in detail (Sections 2.5.7 and 2.5.8) both the behavioral and the psychological approaches to Trust (see Table 5). The literature review pointed three different approaches of Trust: (a) the unidimensional approach (Mayer, Davis & Schoorman, 1995; McAllister, 1998); (b) the two-dimensional approach (Lewicki, McAllister & Bies, 1998), and (c) the transformational or evolutionary approach (Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard, & Cheraskin, 1992). On the other hand, the distrust is defined as a "lack of confidence in the other, a concern that the other may act to harm one that he does not care about one's welfare or intends to act harmfully, or is hostile" (Govier, 1994, p. 240). Our findings are related to the transformational approach to Trust, for which it was found a gap in the literature review.

The transformational approach definitions point out the four stages of the evolutionary Trust, as shown in Table 12. The nature of the transformational Trust was abbreviated, to match the open codes used to compare the literature review with the findings (see Section 4.4.1.4).

Table 12

Transformational or Evolutionary Trust - definitions

Nature of trust	Definition	Author (s)	Year
Distrust (DTR)	DTR is the lack of confidence in the other, a concern that the other may act so as to harm one, that he does not care about one's welfare or intends to act harmfully, or is hostile.	Govier	1994
Deterrence-based trust (DTBT)	DTBT is based on the threat of punishment if consistent behavior is not maintained. Trust based on dissuasion.	Shapiro, D.	1992
Calculus-based trust (CABT)	CABT is based upon the assumption that trustors are positive about their future outcomes. Trust based on risk taking.	Lewicki and Bunker	1995/ 1996
Knowledge-based trust: (KNBT)	KNBT occurs when both trustor and trustee are capable to anticipate, and to predict future negotiations outcomes based on previous experiences and consistent interactions along time. Such predictions maybe positive as well as negative. Trust is based on past interactions.	Lewicki and Bunker	1995/ 1996
Identification-based trust (IDBT)	IDBT is This highest level form of trust which allows a trust between trustee and trustor with no precedents. One rely on the other on positive expectations and future actions, in order to mutual assistance in achieving their objectives and goals.	Lewicki and Stevenson	1998

Source: from Lewicki and Bunker, 1995,1996; Lewicki and Stevenson, 1998; Shapiro et al., 1992.

We also present a growth gradient display, to visualize evolutionary Trust intensity throughout time (Miles, Huberman & Saldaña, 2014, p.200), according to the literature review, depicted in Figure 9, as follows:
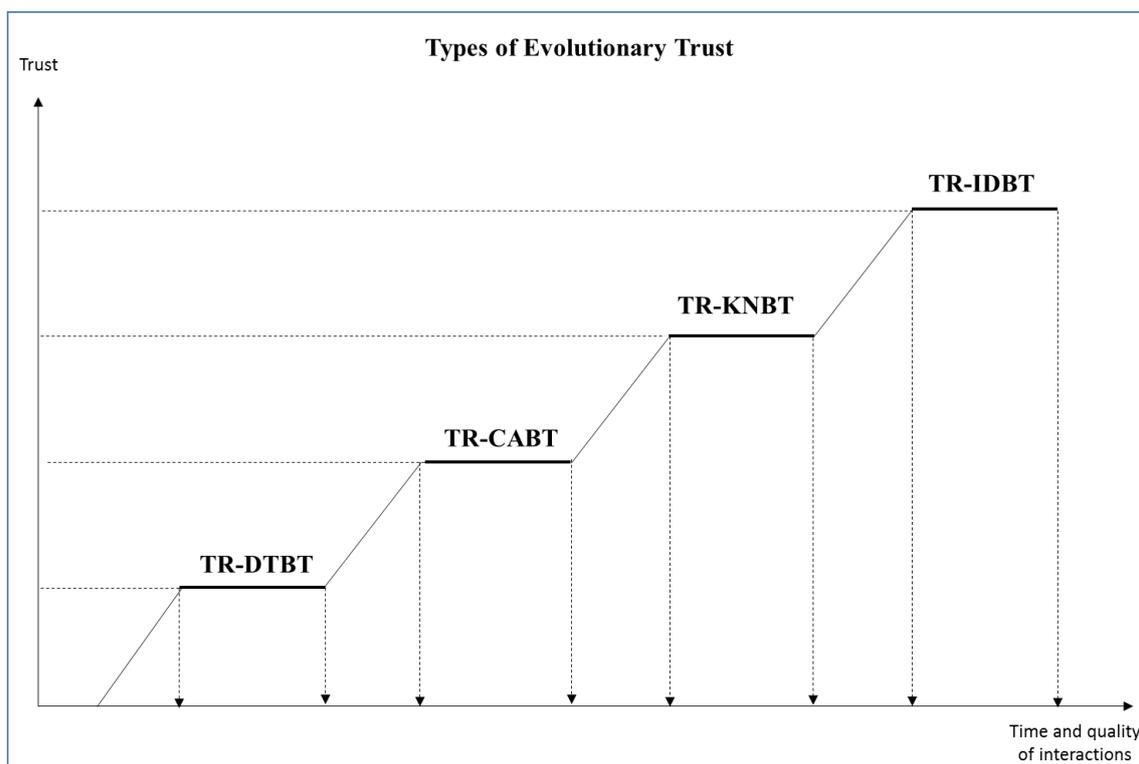
Figure 9. Growth Gradient for Evolutionary types of Trust. Adapted from Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard, & Cheraskin, 1992.

Knowledge-based Trust (KNBT) and Identification-based Trust (IDBT) share a common assumption: in all the four cases, trustors have some information about the trustees (Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard & Cheraskin, 1992). However, the literature does not present a typology or a concept to represent the case that a trustee is a stranger to the trustor. Nevertheless, findings revealed some circumstances that trustors are compelled to trust trustees, regardless the previous trustees' information. In the negotiation terms, it is a situation that trustors have no BATNA - Best Alternative to a Negotiated Agreement (Fisher & Ury, 1981).

The insight about the research gap came up when coding the interview #14. Then, the interviewee #14 was contacted immediately for more details about his interview. Next, the

literature review started by reviewing all the previous interviewees. This process took 12

days. The six remaining interviews were conducted and finished on October 14th, 2015.

4.2.2- Social Value Orientation literature review and research gap findings

In chapter two, we discussed in detail Social Value Orientation definitions (see

Section 2.3). Social Value Orientation early studies (Blake & Mouton, 1964; Griesinger &

Livingston, 1973; Pruitt & Rubin, 1986; Van Lange, Otten, De Bruin & Joireman, 1997;

Liebrand & McClintock, 1988; Murphy, Ackermann & Handgraaf, 2011). Some of Social

Value Orientation definitions are shown in Table 13, as follows:

Table 13

SVO – definitions

Type	Definition	Author (s)	Year
Dyadic conflicts, Dual concern model, SVO	Dyadic conflicts are "a perceived divergence of interest, or a belief that the parties' current aspirations cannot be achieved simultaneously."(p. 4). SVO is two dimensional (pro-self and pro-social)	Pruitt and Rubin	1975
SVO	continuous construct, as it corresponds to the quantity of how much a DM is willing to sacrifice in order to make another DM better off (or perhaps worse off). This quantification of interdependent utilities can best be represented in a continuous scale	Murphy, Ackermann and Handgraaf	2011
SVO	$U (\pi s, \pi o) = a . \pi s + b. \pi o$ Where πs is the outcome for the self, πo is the outcome for the other, a and b are parameters which players weighs their owns allocations = a, and the others' allocations = b.	Mc Clintock	1968

Note: Adapted from Mc Clintock, 1968; Pruit and Rubin, 1975, Murphy, Ackermann and Handgraaf, 2011

It was not found any literature gap regarding this subject. Literature review points two Social Value Orientation aspect. The first, (a) *proself*, or the competitive aspect of the negotiation. The second, (b) *prosocial*, or the cooperative aspect of the negotiation (Griesinger & Livingston, 1973; Pruitt & Rubin, 1986; Van Lange, Otten, De Bruin & Joireman, 1997; Liebrand & McClintock, 1988; Murphy, Ackermann & Handgraaf, 2011).

As shown in Table 17, it was found no residual codes in the coding cycles that could suggest the existence of a research gap on Social Value Orientation, regarding the current literature. Our analysis revealed that interviewees acknowledged both cooperation (SVO-prosocial) and competition (SVO-proself) in the 20 interviews.

However, Trust and Social Value Orientation have never been investigated together regarding the Brazilian context. To fulfill this gap, the analysis of findings was conducted in that perspective.

4.3- Findings

This Section presents the context research findings (Section 4.3.1); qualitative interview's findings (Section 4.3.2), and data transcription and translation (Section 4.3.3), and Word frequency distribution findings (Section 4.3.4).

4.3.1- The Research context findings

Before the interviews started, all the 20 interviewees were prepared about interview dynamics and received comprehensive explanations. The interviewees fulfilled the ethnographic questionnaire and the disclosure information consent, both in Portuguese and in English versions, before the interview starts. The interviewees were told to stop the interview

as soon as they desired for any reason already described. However, there were no interview interruptions or premature terminations. The 20 interviews took 21 hours and 45 minutes or 1,305 minutes, or approximately 65 minutes per interview in total.

The 20 Behavioral Event Interviews generated 40 outcomes respectively: 20 positive results (successful negotiations) and 20 negative results (failure negotiations). The interviews collected information regarding Brazilian business negotiations occurred within or without the workplace, as described in the previous chapter three.

All the interviewees were invited personally or by a phone call and later by e-mail, which they answered to confirm the interview. The scheduled interview started on time, preferentially outside the organization. Only two out of 20 interviews (10 %) occurred in the workplace, interviews #7 and #20 respectively. The remaining 18 interviews were conducted outside the workplace. All the interviews, once scheduled, were accomplished without postponing. There were no registrations of significant events interfering or even impeding the 20 interviews to take place. There was no declination to participate in the interviews. However, one interviewee, a chief rank-23-year-experienced managing director, requested the withdrawal of his company's name of the interview transcripts (interviewee #7), which was simply substituted for "the consulting company."

The purposive sampling was adopted because we were interested in the quality of responses, not their quantity (research-question driven sampling). Criterion sampling is investigated (Section 3.7.1.1), as well as convenience sampling (Section 3.7.1.2), and snowballing sampling (Section 3.7.1.3), as described before. Interviewee #2 suggested interviewees #5 and #20; interviewee #1 recommended interviewees #4 and #16. Interviewee #12 introduced interviewees #13, #14 and #17. The interviewee's assistance regarding snowballing sampling accelerated the interview's pace and helped us to conduct interviews

with significant contributors. Figure 10 shows how the criteria, convenience, snowballing

sample were used, and their relationship regarding hierarchy, as follows:
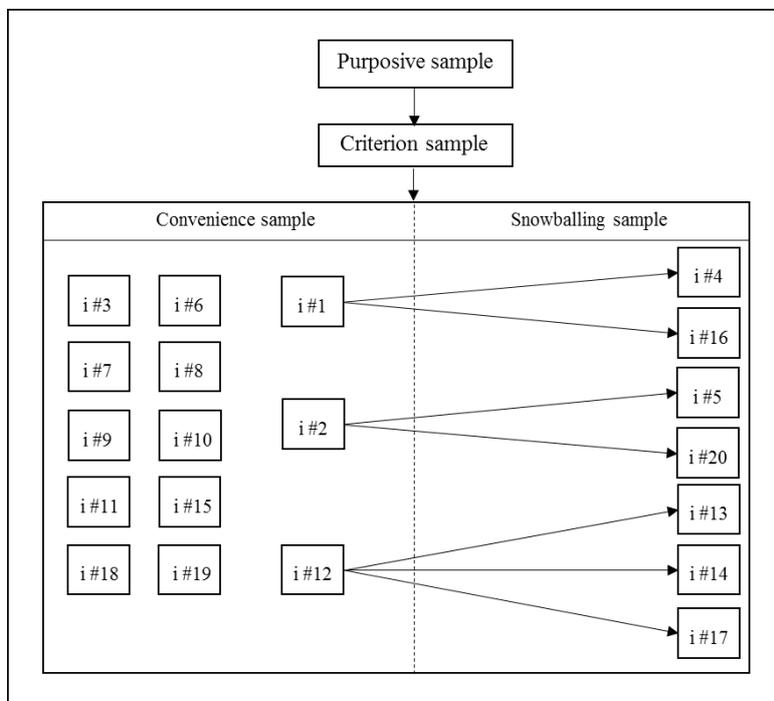
Figure 10. Purposive sample hierarchy. The boxes with i# and a

number inserted refer to the interviews. Sampling criteria

hierarchy are shown in the rectangles.

4.3.2- Data transcription and translation findings

The interviews, transcriptions, translations, corrections and codifications total 66 days,

or 1,584 hours of working, from August 4 to October 8th, 2015. Interviews #1, #2, #7, #10,

and #20 were audio and video recorded (25 %): all the remaining 15 interviews were only

audio recorded (75 %). Interviews #6, #8, #9, #12, #13, #14, #15, and #16 were conducted in

places where video recording was not appropriate. The Interview #11 was conducted via

Skype. Interviews #3, #4, #5, #17, and #18, and #19 were conducted in calm places, outside

the workplace, where video recording was not allowed. The quality of data (recordings) was

preserved audible and with low noise, as much as possible. When a question was not

understood, then it was reframed or repeated. Therefore, no significant information were lost.

The response rate was 100 %, which means that 20 out of 20 people were invited and

interviewed. After the interview, the interviewees received a full transcript of the interviews,

both in Portuguese and English, via e-mail. However, not all the interviewees answered the e-

mail containing transcriptions, as depicted i14, as shown in the next page:

Table 14

Overall information about the interviewee's invitations and protocols signed

Interviewee name	Interviewee Code	Interview Date	Face-to-face initial contact	E-mail invitation	Information Consent signed (PT)	Information Consent signed (EN)	Ethnographic data collected and signed	Transcripts in ENG sent via e-mail	Transcripts in PT sent via e-mail (†)	Changes Requested	Final Acceptance e-mail answered
Jorge Barros	MSSITHE001	04.08.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Bianca Dias	MSSITHE002	09.08.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Murilo Alambert	MSSITHE003	11.08.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Waldo Pedrosa	MSSITHE004	18.08.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Antonio Azevedo	MSSITHE005	25.08.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Pedro Rivas	MSSITHE006	04.09.2015	✔	✔	✔	✔	✔	✔	✔	✔	✔
Fabiano Gomes	MSSITHE007	09.09.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Livia Versiani	MSSITHE008	14.09.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Camila Ferreira	MSSITHE009	15.09.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Roberto Aylmer	MSSITHE010	16.09.2015	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Franciara Oliveira	MSSITHE011	25.09.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Samuel Barros	MSSITHE012	28.09.2105	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Hudson Santos	MSSITHE013	28.09.2015	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Guilherme Hoffmann	MSSITHE014	28.09.2105	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Ana Paula Motta	MSSITHE015	02.10.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Rodrigo Navarro	MSSITHE016	05.10.2015	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Raphael Albergarias	MSSITHE017	06.10.2015	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Marcela Castro	MSSITHE018	07.10.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔
Luiz Migliora	MSSITHE019	07.10.2105	✔	✔	✔	✔	✔	✔	N.A.	NO	✔
Luiz Rubião	MSSITHE020	08.10.2015	✔	✔	✔	✔	✔	✔	✔	NO	✔

Legend: **P** = data complete **O** = no e-mail answer **NO** = no changes requested **N.A.** = not applicable

† *Note* : there was no necessity of sending interviews transcripts in Portuguese when the interview was conducted in English (N.A.)

In this research, out of the 20 interviews (100%), five interviews (25 %) were

dispensed in The English language and 15 (75 %) in Portuguese and translated into English.

Each interview was transcribed from the recordings (video or audio recording) and then

translated when necessary. The electronic text editor MS Word 2013 (*.docx file format), was

used to transcribe all the interviews into Portuguese or English, depending on what language

the interview was dispensed. The data collected in Portuguese were immediately translated

into English. All the transcriptions were conducted manually, word by word. After that

process, the interviews were one by one coded and further analyzed. The next paragraphs

describe how it was accomplished.

The transcriptions in Portuguese totalized 57,795 words. The transcriptions and

translations in English totalized 81,407 words. The total words written, both in English and

Portuguese for 20 interviews were 139,202 words. Each electronic file generated were stored

under the subdirectories termed interview #1, interview #2, until interview #20, then saved in

a directory called interview, which is available for future consultation, double checking, and

research replication, as shown in Figure 11, as follows:
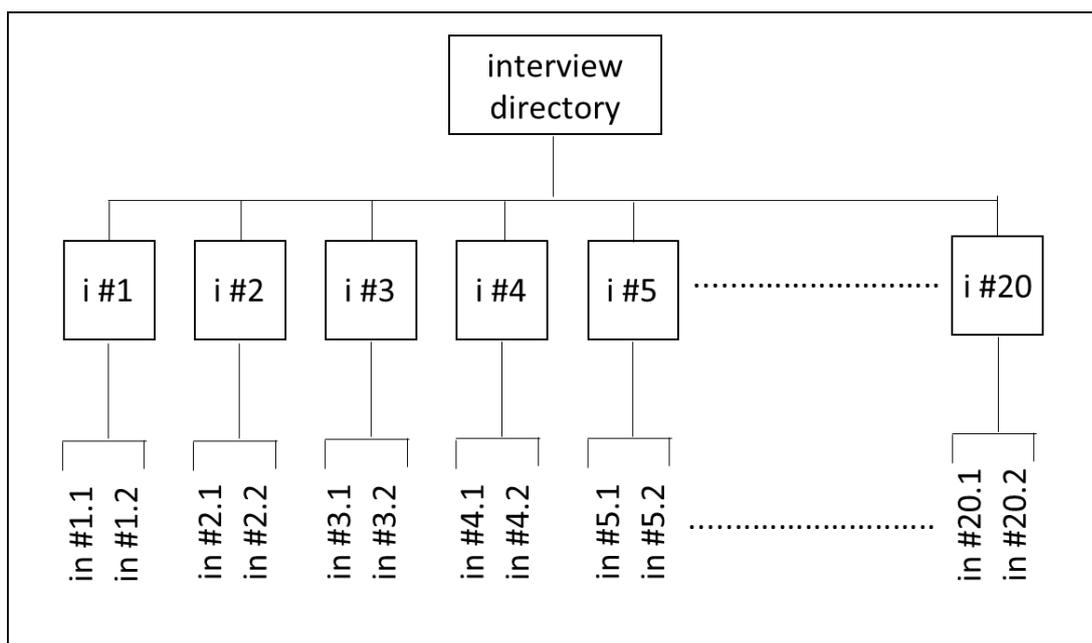
Figure 11. Interview directory structure. The boxes with i# and a number inserted refer to

the interviews. Sampling criteria hierarchy are shown in the rectangles.

4.3.3- Process code findings

The coding process started immediately after the transcriptions/translations of each interview finish. The whole coding process lasted 66 consecutive days (from August 4th to October 8th, 2015 respectively). The interviews were coded in sequential cycles (Saldaña, 2013): pre-cycle code (Section 4.3.3.1); first cycle code (Section 4.3.3.2); second cycle code (Section 4.3.3.3), and third cycle code (Section 4.3.3.4). All the data were also coded manually and registered in the MS Excel spreadsheet format (*.xlsx), and then saved under the name *Coding*.xls.

In the three cycles, were used 3,058 codes (100 %), as shown in Table 15. In the first cycle, were used 1,075 codes (35 %); in the second cycle 1,808 codes (58 %); and in the third cycle, were used 245 codes (7 %).

Table 15

Codes per phase

Code	Positive Outcome			Negative Outcome			Total
	First Cycle	Second cycle	Third Cycle	First Cycle	Second cycle	Third Cycle	
Holistic	20	zero	zero	20	zero	zero	40
Attribute	20	zero	zero	20	zero	zero	40
Structural	76	zero	zero	87	zero	zero	163
Process	196	zero	zero	219	zero	zero	415
In Vivo	174	zero	zero	173	zero	zero	347
Eclectic	zero	431	zero	zero	473	zero	904
Pattern	zero	431	zero	zero	473	zero	904
Open code	zero	zero	123	zero	zero	122	245
Total	**486**	**862**	**123**	**519**	**946**	**122**	**3058**

4.3.3.1- Pre-coding cycle findings

The pre-coding cycle was initiated through highlighting passages of text according to the research questions posed. Text excerpts related to Trust were highlighted in yellow and in light pink text excerpts related to Social Value Orientation (Saldaña, 2013). In all the 40 interview's set (20 positive and 20 negative outcomes), both factors studied were present at 100 % of the negotiations narrated and, therefore, highlighted. Pre-coding, however, served as a visual aid in finding large chunks of data. Data were categorized in the third cycle coding (see Section 4.3.3.4).

4.3.3.2- The first cycle coding findings

In the first cycle coding, the interviewee's ethnographic information were gathered for each interviewee. The *Attribute coding* served as a basic information display arranged in an easy consult format (Saldaña, 2013, p. 70). Some cases where cooperation and competition (SVO-prosocial and proself factors, respectively) were both presents in the narratives. The highlighted text passages in pre-coding helped visually to re-arrange data in smaller organized structures (Saldaña, 2013).

In sequence, *Holistic coding* was categorized, which served to classify big chunks of raw data (half page or one entire page) in one single code (Miles, Huberman & Saldaña, 2014, p.77).

In the next step, *Structural coding* was categorized which is similar to *holistic coding*; the difference is that structural code deals with smaller amounts of data. It helped us to organize the texts for further analysis. It also connected them to a particular research question (MacQueen et al., 2008, p.124).

The subsequent coding was the *process coding* was used, also known as the *action coding*. It was useful to highlight what kind of action was taking place (Miles, Huberman & Saldaña, 2014).

Finally, *In Vivo* code was also used, to empower the interviewee's voice (Saldaña, 2013). The first cycle coding was performed to organize large amounts of data into smaller ones, more manageable, and to prepare them for subsequent analysis on the next cycle coding.

4.3.3.3- Second cycle coding findings

Eclectic coding was used in the second cycle to refine the first cycle through condensing all the codes. It helped to visualize the next step *Pattern coding*, (Saldaña, 2013). All the previous codes were set into a cell, to extract *Pattern coding*, used to categorize data according to the research strategy (Saldaña, 2013, p. 64), confirming or refuting the literature review. 40 analytic memos were written (two memos per interview), which served to summarize each interview.

Analytic Memos helped us to get more insights from data. *Pattern coding* findings pointed the necessity to refine the coding process through a third cycle coding, where it was used *open coding*, as shown in the following Section 4.3.3.4.

4.3.3.4- Third cycle coding findings

First, comparing the literature review, the research questions with our findings from the previous cycle codes, following Grbich, 2013, p.83.

Then, following Miles, Huberman & Saldaña (2014), and chose *open coding*. First the literature review was compared with the interview outcomes and created two codes for the

third cycle: (a) TRUST (abbreviation: TR), and (b) Social Value Orientation (abbreviation:

Social Value Orientation).

The next step, following Schreier (2012, p.64), the codes were structured

hierarchically, in codes and sub-codes, due to the research questions and literature review:

TR: (TR-DTBT, TR-CABT, TR-KNBT, TR-IDBT, TR-DTR); SVO: (SVO-PSELF and SVO-

PSOCIAL).

Initially, the coding process was divided into three distinct moments or phases within

the narrative. The negotiation described was also considered as the event narrated in the

interviews: (a) before, (b) during, and (c) after the event (positive or negative outcomes). For

each code created it was added a degree of intensity: H that stands for *High-intensity* and L,

which by its turn, stands for *Low intensity*, following Miles, Huberman & Saldaña (2014).

Figure 12 depicts the hierarchical structure of the coding frame concerning Trust,

Distrust, Social Value Orientation and intensities (H and L), before analysis:
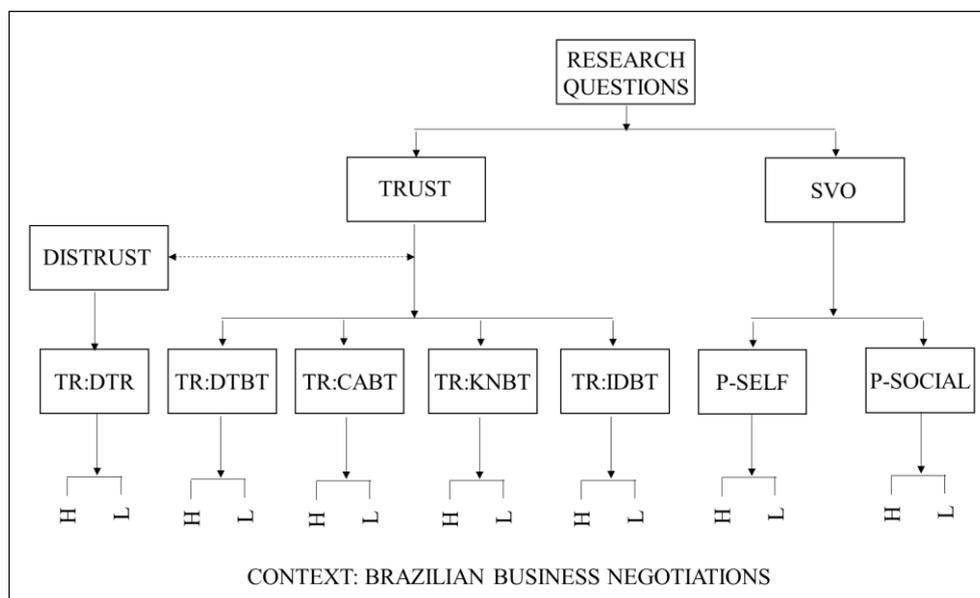
Figure 12. The hierarchical structure of the coding frame, before the content

analysis.

Table 16 shows the open codes assigned to the literature review and its respective sub-codes:

Table 16

Open codes (before analysis)

CATEGORY: TRUST	TR	CATEGORY: SOCIAL VALUE ORIENTATION	SVO
TR: DETERRENCE-BASED TRUST	**TR-DTBT**	**SVO: PRO-SELF**	**SVO-PSELF**
TR: DETERRENCE-BASED TRUST- HIGH	TR-DTBT-H	SVO: PRO-SELF- HIGH	SVO-PSELF-H
TR: DETERRENCE-BASED TRUST-LOW	TR-DTBT-L	SVO: PRO-SELF-LOW	SVO-PSELF-L
TR: CALCULUS-BASED TRUST	**TR-CABT**	**SVO: PRO-SOCIAL**	**SVO-PSOCIAL**
TR: CALCULUS-BASED TRUST-HIGH	TR-CABT-H	SVO: PRO-SOCIAL- HIGH	SVO-PSOCIAL-H
TR: CALCULUS-BASED TRUST-LOW	TR-CABT-L	SVO: PRO-SOCIAL-LOW	SVO-PSOCIAL-L
TR: KNOWLEDGE-BASED TRUST	**TR-KNBT**		
TR: KNOWLEDGE-BASED TRUST-HIGH	TR-KNBT-H		
TR: KNOWLEDGE-BASED TRUST-LOW	TR-KNBT-L		
TR: IDENTIFICATION-BASED TRUST	**TR-IDBT**		
TR: IDENTIFICATION-BASED TRUST-HIGH	TR-IDBT-H		
TR: IDENTIFICATION-BASED TRUST-LOW	TR-IDBT-L		
TR: DISTRUST	**TR-DTR**		
TR: DISTRUST - HIGH	TR-DTR-H		
TR: DISTRUST - LOW	TR-DTR-L		

Then, the codes depicted in Table 17 were applied to the amount of the primary raw data we collected. The missing blocks were observed, pieces of information that could not be categorized due to the current literature review.

It was found 245 open codes (100 %) in the third cycle that 123 (50, 2 %) were applied to positive outcomes, and 122 codes to negative outcomes (49, 8 %). Out of the 245 codes (100 %), 125 codes (51 %) were used to categorize Trust, and 120 codes (49 %) were used to categorize Social Value Orientation. No discrepancy between data and the current literature review regarding Social Value Orientation was found. In sum, all SVO codes matched the data available.

Regarding Social Value Orientation, it was found in *positive outcomes* (see Table 17) decreasing levels of competitive behavior (SVO-proself) and increasing levels of cooperative behavior (SVO-prosocial), confirmed by the literature review. It was also found in *negative outcomes* (see Table 17) decreasing levels of cooperative behavior (SVO-prosocial), and increasing levels of competitive behavior (SVO-proself), confirmed by the literature review.

However, regarding Trust (TR), discrepancies between our data and the current literature review were found. After the third cycle coding, 20 chunks of raw data out of 245 open codes used (8.2 %), were found in the 20 interviews that did not match any code shown in the previous Table 16. These 20 blocks of data were distributed in nine chunks of raw data in positive outcomes (3.6 %) and 11 chunks of raw data in negative outcomes (4.6 %) respectively, with no further explanation in the literature review to accommodate them. In other words, the research gap was found both in positive as well as in negative outcomes. Table 17 shows the existing literature gap regarding Trust and the amount of codes used in each code, as follows:

Table 17

Open codes and literature gap

Code type	Code	Positive Outcomes				Negative Outcomes			
		Before Event	During Event	After Event	Total	Before Event	During Event	After Event	Total
	LITERATURE GAP	**1**	**6**	**2**	**9**	**5**	**5**	**1**	**11**
TRUST: TR	TR-DTR	1	5	zero	6	5	12	18	35
	TR-DTBT	zero	4	zero	4	zero	2	zero	2
	TR-CABT	7	3	3	13	5	2	1	8
	TR-KNBT	8	6	8	22	6	zero	zero	6
	TR-IDBT	2	2	5	9	zero	zero	zero	zero
SOCIAL VALUE ORIENTATION: SVO	SVO-PSELF	6	3	zero	9	16	18	20	54
	SVO-PSOCIAL	14	17	20	51	4	2	zero	6
TOTAL	245				123				122

4.3.4- Word frequency distribution findings

According to Schreier (2012), when conducting content analysis, the raw data is sorted into distinct codes and sub-codes that can be counted and displayed as quantitative style, especially when the focus regards the codes, not the cases (p.231), which is appropriate for this research.

Then, following Schreier (2012), the raw data was prepared to be analyzed (see Appendix A). QSR NVivo 11 was used to prepare and process the raw data. It was counted and analyzed a total of 34,178 words (42 %) out of 81,407 words (100 %).

 "Trust" word was found as the highest frequency occurrence word (253 occurrences), followed by "Brazil" (137 occurrences), as shown in Figure 13, as follows:
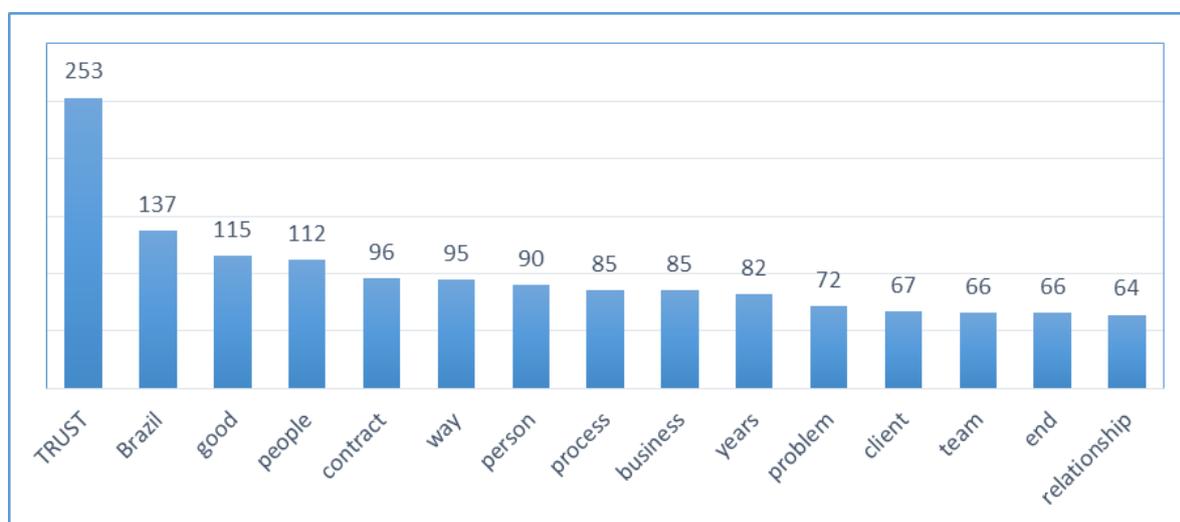
Figure 13. Word frequency distribution. Refers to the contents of the 20 interviews.

A word cloud in NVivo 11 was also used to visualize findings, as shown in Figure 14, as follows:

Figure 14. Frequency distribution in word cloud format.

Frequency distribution and word cloud (Figures 13 and 14 respectively) are different ways of displaying the same information, and are useful content analysis' tools, especially when large amounts of text data have to be processed. They were helpful to: (a) prepare data for further semiotic denotative analysis (see the next Section 4.4.1.4); (b) provide insights regarding the open codes and the sub-codes categorization (Miles, Huberman & Saldaña, 2014). In our case, support in word counting was found (frequency distribution and word cloud) that justified the use of Trust as open code. Furthermore, the displays brought insights on the importance of Trust in the research. Trust is, by far, the most frequent word within the interviews (almost two times the second most frequent word – see Figure 13). The next Section shows the findings' analysis.

4.4- Analysis

In the previous Sections, it was discussed in detail the aspects of the literature review regarding transformational or evolutionary Trust (see Section 4.2.1), according to Lewicki, McAllister & Bies, 1998; Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard & Cheraskin, 1992). Then, 20 blocks were reported (out of the 245 coded) of discrepant data with no further explanation to accommodate the following open codes: TR-DTBT, TR-CABT; TR-KNBT and TR-IDBT. Therefore, a literature gap regarding Trust was found and reported (see Section 4.3.3.4).

Social Value Orientation was also discussed in Section 4.2.2 (Blake and Mouton, 1964; Van Lange, Otten, De Bruin & Joireman, 1997; Griesinger & Livingston, 1973; Pruitt & Rubin, 1986; Liebrand & McClintock, 1988; McClintock & Allison, 1989; Murphy, Ackermann & Handgraaf, 2011). The findings regarding Social Value Orientation matched the literature review. Nevertheless, no literature gap was found regarding Social Value Orientation (see Section 4.3.3.4). Therefore, the next step is to analyze the findings previously reported.

Following Miles, Huberman & Saldaña, 2014; Grbich, 2013; Schreier, 2012, and Silverman 2011, the research gap found was analyzed through qualitative content analysis (Section 4.4.1). Then, followed by ethnographic data (Section 4.4.2), Cluster Analysis (Section 4.4.3), The causal chain analysis (Section 4.4.4), analysis of reliability and validity (Section 4.4.5).

4.4.1- Qualitative Content Analysis

Content Analysis was conducted in this research to describe the "meaning of qualitative material in a systematic way" (Schreirer, 2012, p.1), in search for an underlying meaning (Kracauer, 1952).

Following Schreier (2012) recommendations, the investigation started with the research gap analysis (Section 4.4.1.1). Then, a progressive summary was organized (Section 4.4.1.2). Next, the progressive summary into code creation (Section 4.4.1.3). Finally, it was conducted a Semiotic Denotative Analysis (Section 4.4.1.4). Last, a contrast analysis (Section 4.4.1.5), and a code network analysis (Section 4.4.1.6), as follows:

4.4.1.1- Research gap analysis

After the second cycle trial coding, 245 blocks of raw data were categorized, as shown in the Section 4.3.3. Then, following our research questions and the literature review, a set of two codes was devised (Trust and Social Value Orientation), and seven sub-codes (TRUST: TR-CABT, TR-DNBT, TR-KNBT, TR-IDBT; TR-DTR; and SVO: SVO-PSELF; SVO-PSOCIAL – see Table 16).

The open codes categorized 225 (91.8 %) out of 245 blocks of information (100 %), in which 125 codes were addressed to Trust (51.8%) and 120 to Social Value Orientation (48.2%), according to our research questions and the literature review (see Table 17). Any TRUST sub-codes could not categorize the 20 residual blocks (8.2 %). Nevertheless, the same 20 residual blocks could be classified by Social Value Orientation sub-codes. Then, 20 blocks

were analyzed regarding the TRUST code, following interview order[4] (interview # 1.1 meant the first interview, positive outcome; interview #1.2 meant the first interview, negative outcome and so on). Next, part of the analytic memos were reproduced when necessary and provided for further analysis according to each interview.

The research gaps were found in the following eleven interviews: (a) interview #1.1; (b) interview #6.2; (c) Interview # 10.2; (d) interview #11.2; (e) interview #13.2; (f) interview #14.1; (g) interview #16.1; (h) interview #17.1; (i) interview #17.2; (j) interview #18.1; and (k) interview #20.1. Note that interviewees' names were preserved, addressing them by respective codes. Eleven outliers were analyzed (items *a* to *k*), as follows:

(a) Research gap: Interview #1.1.

Title: the implementation of a power plant in Bahia

MSITHE001 talked about a power plant at Feira de Santana, Bahia, a three-million dollar investment. The difficulty presented was how to interpret Bahian society's interests, valuing their culture. On lessons learned, MSITHE001 pointed the necessity to involve local people in the planning phase of the project. Our first impression was how Trust is important, as well as the ability to make crucial concessions. Broken trust means failure and maximum, short-term negotiations. In this case, MSITHE001 negotiated with Bahia State and the local government, but MSITHE001 did not know any of the State and local constituents with whom he should negotiate. MSITHE001 had no previous information about them and, nevertheless, should trust them: "*I had to negotiate with Bahian state government officials, but I had no previous information about them*" (MSITHE001). He also told us: "*I first would make a study*

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[4] For a complete reference, see: APPENDIX F – Interviews summary; APPENDIX G – Explanation matrix – Positive outcomes; APPENDIX H – Explanation matrix – Negative outcomes

of the impact on the expectations of my counterpart regarding this negotiation about their

values, and then start the negotiation process" (MSSITHE001).

 (b) Research gap: Interview #6.2

Title: Petrobras' mega event: Pre-salt

MSITHE006 showed how the lack of planning and intolerance by one European

company, incapable of delivering an augmented reality production to animate part of this

mega event, in due time, proved to be an unsuccessful negotiation. In retaliation,

MSITHE006, using his position of a major player in Brazilian business scenario, asked for

more than originally agreed and he succeeded. In an attempt to rebuild Trust, the company

conceded the augmented reality software for free. The negotiation did not succeed, but

MSITHE006 had to negotiate circumstantially with the negotiators that he had to rely upon

and with whom he never negotiated before, therefore, with any previous information about

their counterparts in this negotiation. MSSITHE006 described the circumstance in which he

was forced to comply with: "*Look, what I could do is not make such a specialized service in*

such a short time" (MSSITHE006).

(c) Research gap: Interview #10.2

Title: The failure training negotiation

MSITHE0010 told us how much previous correct information about one prospect was

important. Trust was not a cause, but a consequence in this case: Trust was broken because

the interviewee did not pay attention to the clients' real interests. Nevertheless, MSITHE0010

had to negotiate with a client that he knew nothing about previously, but him to trust them

and, simultaneously, trust a person who gave him misleading information that drove the

negotiation into the failure. MSSITHE010 would search for more information on negotiating:

"*I would ask many questions, and appreciate what they have done before, valued what they*

have done before, and the company. I would do this differently" (MSSITHE010).

(d) Research gap: Interview #11.2

Title: power plant and community threats

MSITHE0011 told in this second interview that one community (slum), having the same case, tried to paralyze the reallocation work, in detriment to themselves. They strived to get concessions out of the table. The competitive environment ruined trust both with the teams' members and with the community. MSITHE0011 has never had any contact with them previously. Nevertheless, the interviewee had to trust the team members: "I had to trust a new team I did not know before" (MSITHE0011).

(e) Research gap: Interview #13.2

Title: negotiating equipment guarantee

MSITHE013 reported how a Brazilian company could let go to a 45 million-dollar equipment acquisition based on the false premise that the client was bluffing about how much they could pay. Fail in this negotiation gave birth to a successful one, with a Swedish group. MSITHE0013 has never had any contact with the new constituents previously. Nevertheless, MSITHE0013 had to trust the team members, to succeed in the future: "*Because I had to trust him*" (MSSITHE013) even not knowing anything about the other party.

(f) Research gap: Interview #14.1

Title: negotiating with the Mayor: building fences

MSITHE0014 mentioned the Mayor giving an ultimatum and used last minute call tactics, in detriment of himself, because, obviously: "I would never trust someone who asked me to insert in the final moments of an ongoing project, half million BRL to build an extra fence for a golf camp". Nevertheless, MSITHE0014 has never had any contact with the Rio de Janeiro's Mayor previously; he had to trust him, to revert the process and accomplish the

project on time, as he did: "*I had to say no*" (MSSITHE014). "*I would negotiate. We did not negotiate!*"(MSSITHE014).

(g) Research gap: Interview #16.1

Title: Implementation of BMW in Brazil

MSITHE0016 discussed the case of BMW in Brazil (Dias et al., 2014). Therefore, the news here is the strategy of transparency adopted by BMW was successful in changing a Law and finally assemble its full factory in Araquari, SC. MSITHE0016 has never had any contact with the Brazilian Federal Government's constituents regarding this negotiation previously. He had to trust them, working in parallel with BMW constituents. MSITHE0016 had no previous information about the other party that could have helped him to succeed in reverting the INOVAR AUTO restrictions and bring BMW to Brazil (for details, see Dias et al., 2014). "*BMW had to negotiate with the Brazilian government, despite not knowing Brazilian officials and showed transparency to build trust*" (MSSITHE016).

(h) Research gap: Interview #17.1

Title: Foundation of IPMA (International Project Management Association) Brazil

MSITHE0017 told us how he founded the IPMA Brazil, the pitfalls and barriers that he had to overcome. MSITHE0017 is the IPMA current president and reported how a vote of trust made the difference in this case. MSITHE0017 had to negotiate with the IPMA Global president with no previous information about his counterpart, and nevertheless, he had to trust the other party.

(i) Research gap: Interview #17.2

Title: The IPMA (International Project Management Association) certification

MSITHE0017 told how a plot was orchestrated by the certification Director from IPMA leading to rupture and re-processing of all the certifications into a full certification

provider, which was obtained in 2015. MSITHE0017 had to negotiate with two IPMA Global

certifications directors (one German and the other British, both IPMA representatives) with

no previous information about them, and nevertheless, had to trust the other parties: "*IPMA*

International president trusted me. We did not know each other" (MSSITHE017).

(j) Research gap: Interview #18.1

Title: aluminum industrial boiler replacement

MSITHE0018 discussed the case of a difficult person, a critical person in a project in

Rio about software replacement of an industrial aluminum boiler. The person distrusted the

group because he was afraid of termination. So, he created difficulties throughout the project.

The interviewee regained his trust and finished the project on time and successfully.

MSITHE0018 had to negotiate, due to the circumstances, with the project blocker with no

previous information about him, and nevertheless, he had to trust his expertise to finish the

project on time, "*Because he was the only guy in the company who could access the data, he*

could control it. Also, how was going to change, new software, he was a man already who

had a significant barrier to this project, he did not trust the staff of this project"

(MSSITHE018).

(k) Research gap: Interview #20.1

Title: Project RENESTE (Northeast refinery)

MSITHE0020 told how a 120 million BRL project succeeded because of the team's

alignment, many efforts from both sides and a cooperative environment fostering mutual trust.

A project with 400 people involved and well-coordinated RENESTE, Northeastern Refinery.

MSITHE0020 had to negotiate with the project managers with no previous information about

them, and nevertheless, he had to trust their expertise to finish the project on time. Regarding

trust, he said: "*A breach of trust is not recoverable*" (MSSITHE020).

For the next Section, an outlier analysis was conducted, and built a progressive summary, described in the following Section 4.4.1.2 (see also Table 18), to refine the search for a new open code to fulfill the research gap, described in the Section 4.4.1.3.

4.4.1.2- Research gap into progressive summary

According to Schreier (2012), progressive summarizing consists of: "(a) paraphrasing the primary data collected; (b) 'streamlining' each paraphrase, deleting unimportant information within the data; (c) comparing paraphrases, and creating a summary of the most significant paraphrases, and (d) creating a code, or sub-code, and definition" (p.110).

The content analysis started following Schreier (2012) by summarizing paraphrases in our findings, "after all, the idea behind the generated data-based codes, is to make your codes concrete and to have them reflect your material" (Schreier, 2012, p. 107).

 First, the *In Vivo* codes were analyzed throughout the 20 outliers (missing blocks) out of data collected (Saldaña, 2013). Then, one relevant quote was transcribed for each missing block, in total, 20 quotes.

Second, following Schreier (2012), the previous step was repeated, applying to the secondary data. Therefore, irrelevant or repetitive information regarding the 20 quotes were deleted, resulting in 20 paraphrases. Then, the 20 paraphrases were compared with each other, eliminating similar ones when necessary and summarized them in 13 paraphrases, as depicted in Table 18, as follows:

Table 18

Paraphrases and the first-level databased sub-codes on Trust

Interview #	Paraphrases	Subcategory
1.1	I had to negotiate with Bahian state government officials, but I had no previous information about them	Compelled trust No previous information
6.2	I had to trust people regarding the European company I did not know them	Compelled trust No previous information
10.2	I skipped a very basic step, my work in relationship of building trust. I negotiated with someone I have never asked a question	Compelled trust No previous information
10.2	No matter I may sound repetitive: - what do you want to say about this? What do you want in this situation? What have you done before? I ask many questions	Compelled trust No previous information
11.2	I had to trust a new team I did not know before	Compelled trust No previous information
13.2	We had to negotiate with the Swedish because Brazilian company did not believe us, but we have No previous information about them.	Compelled trust No previous information
14.1	I did not knew the Mayor, nevertheless, I had to negotiate with him	Compelled trust No previous information
16.1	BMW had to negotiate with the Brazilian government, despite not knowing Brazilian officials and showed transparency in order to build trust	Compelled trust No previous information
17.1	IPMA international president trusted me. We did not know each other	Compelled trust No previous information
17.2	I had to negotiate with the German and the British guys. I never knew them before, but I had to trust them. At the end I succeeded.	Compelled trust No previous information
17.2	By principle, I have to trust any people I am about to negotiate, even not knowing them.	Compelled trust No previous information
18.1	I had to negotiate with the software controller. I never knew him before. He was blocking the project	Compelled trust No previous information
20.1	Even not knowing them, we had to create a relationship of trust with the team members of the project	Compelled trust No previous information

The paraphrases shown in Table 18 were very useful to refine the search for an open code that could categorize all the missing blocks of raw data, regarding trust. The original sentences were organized in a way that eliminated quotations that made no sense regarding the literature review and gathered the ones that pointed, somehow, which direction we should pursue. Paraphrases built a connection between the research gap, and the code creation, related to trust (see Section 4.4.1.3).

Next, according to Schreier (2012), data-driven and concept-driven elements were combined (pp.110-111), to present a two-level coding frame as shown in Table 19, as follows:

Table 19

Two-level structure regarding trustor's previous information on trustees before event

Trustor's level of previous information regarding to trustees before negotiation (event)	code
Previous information	
ÿDeterrence-Based Trust	TR-DTBT
ÿCalculus-Based Trust	TR-CABT
ÿKnowledge-Based Trust	TR-KNBT
ÿIdentification-Based Trust	TR-IDBT
No previous information	
ÿCompelled-Based Trust (initially Mandatory or Forced)	TR-COBT

4.4.1.3- Progressive summary into the code creation

Once more the outliers from the literature review were compared, combined with a progressive summary exhibit (Table 18), as well as the two-level framework is shown in Table 18, in which: (a) the research gap in the literature review was found in positive as well as negative outcomes (see Table 17). (b) Regarding discrepancies (outliers), there is no evidence that inconsistent trustors knew respective trustees before the negotiations took place, and (c) in the discrepant cases, trustors described they were by any circumstance compelled to trust trustees (see Table 18).

Initially, after recurring to the literature review, a descriptive semiotic analysis was conducted regarding a name for the new code. Mandatory-Based Trust (TR-MDBT) was tried unsuccessfully. *Mandatory* is a word that comes from Latin *mandatus*, past participle of *mandare* "obligatory because commanded" (Online Etymology Dictionary, 2015). After analyzing all the blocks of data, TR-MDBT was discarded because it was not found any person behind the negotiations commanding, mandating, determining, or even restricting free will in the negotiations narrated.

The descriptive semiotic analysis was also conducted regarding the name "Forced-Based Trust (TR-FOBT)". The word "forced" comes from old French *forcer* "conquer by violence", from force "strength, power, and compulsion" (Online Etymology Dictionary, 2015). It was not found a single act of physical abuse or even compulsion registered in the interviews that justified such use.

Next, the term **Compelled-Based Trust, TR-COBT** was tested (see Table 20). *Compelled* comes from Latin *compellere* from com- "together" + pellere "to drive", meaning "to drive together" (Online Etymology Dictionary, 2015).

The Compelled-Based Trust is a Transformative or Evolutionary Trust, in which trustors, with no previous information on their counterparts' reputation, are compelled to trust by greater circumstantial forces, in unknown trustees.

Then, the Compelled-Based Trust (TR-COBT) was applied to the missing chunks of data. It was suitable for all the 20 outliers (residual blocks) of data. A compelling force was observed, a situational factor that has driven all the parties to the negotiations narrated. Therefore, Compelled-Based Trust, TR-COBT was adopted as a trust sub-code, as shown in Table 20, as follows:

Table 20

List of the codes and sub-codes – Compelled-Based Trust (TR-COBT)

CATEGORY: TRUST	TR	CATEGORY: TRUST	TR-DTR
TR: DETERRENCE-BASED TRUST	**TR-DTBT**	**TR: DISTRUST**	**TR-DTR**
TR: DETERRENCE-BASED TRUST- HIGH	TR-DTBT-H	TR: DISTRUST - HIGH	TR-DTR-H
TR: DETERRENCE-BASED TRUST-LOW	TR-DTBT-L	TR: DISTRUST - LOW	TR-DTR-L
TR: CALCULUS-BASED TRUST	**TR-CABT**	**CATEGORY: SOCIAL VALUE ORIENTATION**	**SVO**
TR: CALCULUS-BASED TRUST-HIGH	TR-CABT-H	**SVO: PRO-SELF**	**SVO-PSELF**
TR: CALCULUS-BASED TRUST-LOW	TR-CABT-L	SVO: PRO-SELF- HIGH	SVO-PSELF-H
TR: KNOWLEDGE-BASED TRUST	**TR-KNBT**	SVO: PRO-SELF-LOW	SVO-PSELF-L
TR: KNOWLEDGE-BASED TRUST-HIGH	TR-KNBT-H	**SVO: PRO-SOCIAL**	**SVO-PSOCIAL**
TR: KNOWLEDGE-BASED TRUST-LOW	TR-KNBT-L	SVO: PRO-SOCIAL- HIGH	SVO-PSOCIAL-H
TR: IDENTIFICATION-BASED TRUST	**TR-IDBT**	SVO: PRO-SOCIAL-LOW	SVO-PSOCIAL-L
TR: IDENTIFICATION-BASED TRUST-HIGH	TR-IDBT-H		
TR: IDENTIFICATION-BASED TRUST-LOW	TR-IDBT-L		
TR: COMPELLED-BASED TRUST	**TR-COBT**		
TR: COMPELLED-BASED TRUST-HIGH	TR-COBT-H		
TR: COMPELLED-BASED TRUST-LOW	TR-COBT-L		

Finally, the new code TR-COBT was applied to the missing data, and the outcome is
shown in Table 21, Content-Analytic summary, as follows. Therefore, the literature research
gap regarding the 20 outliers (missing blocks) on Trust was fulfilled.

Table 21

Content-Analytic Summary: The codes TR and SVO numerical occurrences

Code type	Code	Positive Outcomes				Negative Outcomes			
		Before Event	During Event	After Event	Total	Before Event	During Event	After Event	Total
	TR-COBT	**1**	**6**	**2**	**9**	**5**	**5**	**1**	**11**
	TR-DTR	1	5	zero	6	5	12	18	35
TRUST: TR	TR-DTBT	zero	4	zero	4	zero	2	zero	2
	TR-CABT	7	3	3	13	5	2	1	8
	TR-KNBT	8	6	8	22	6	zero	zero	6
	TR-IDBT	2	2	5	9	zero	zero	zero	zero
SOCIAL VALUE ORIENTATION: SVO	SVO-PSELF	6	3	zero	9	16	18	20	54
	SVO-PSOCIAL	14	17	20	51	4	2	zero	6
TOTAL	245				123				122

Finally, we present the new the hierarchical structure of the coding frame concerning

our research questions, after the inclusion of the Compelled-Based Trust (TR-COBT), as

depicted in Figure 15, as follows:
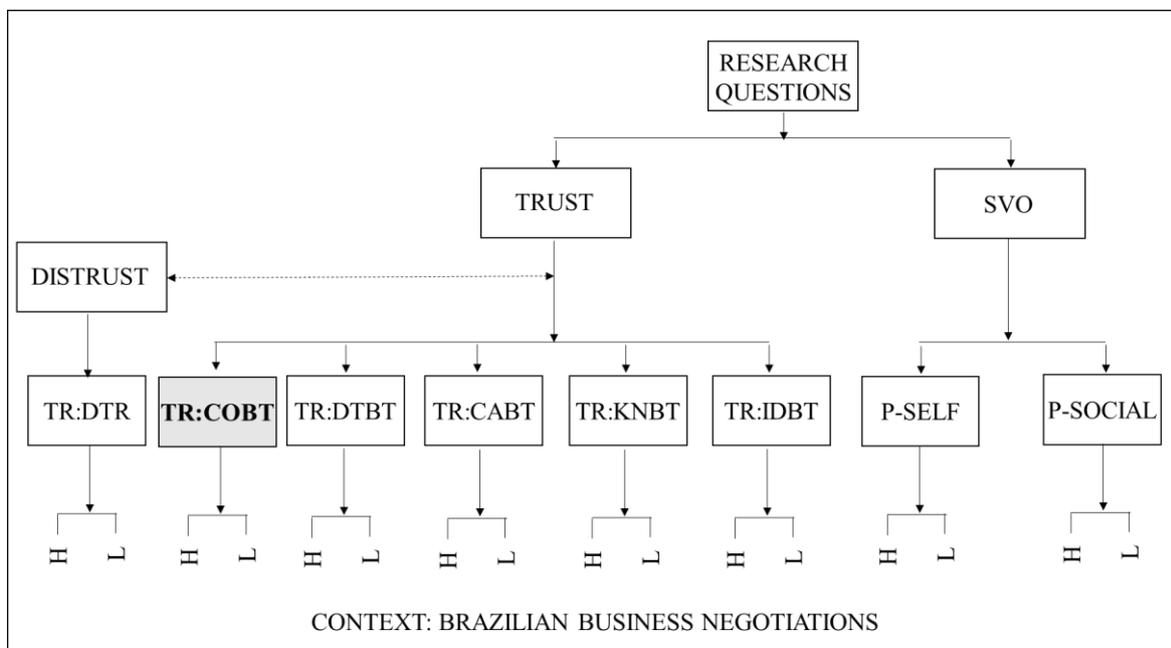
Figure 15. The hierarchical structure of the coding frame, after the content analysis.

4.4.1.4- Code creation and Semiotic Denotative Analysis

Following Schreier (2012), progressive summary, code creation (Section 4.4.1.3) were

combined with Semiotic Denotative Analysis, which describes "the denotative meaning of

your material, and by its turn, certain semiotic codes into the Qualitative Content Analysis

codes" (Schreier, 2012, p.56). The aim was to understand: (a) the different meanings of Hope,

Trust, confidence, the negotiation, and meanings regarding the Brazilian cultural context (b)

and the use of the code creation in the previous Section 4.4.1.3, as shown in Table 22, as

follows:

Table 22

Semiotic Denotative Analysis

Sign	Origin	Denotative Significate	Reference	Thesis Item
Disposition	Latin	dispositionem (nominative dispositio), meaning literally "to set aside", but also "temperament, mood, state of mind". Therefore, disposition is related to physical and mental arrangements.	Disposition. Online Etymology Dictionary (2015)	1.2
Hope	Old German	Positive outcome directed to a situation, circumstance or world at large	Cantril, 1964; Frank, 1968; Feldman and Snyder, 1999; Lewicki et. al, 1998; Snyder et al. 2000	1.4
Negotiation	Latin	nego, deny, otium, leisure, "deny leisure" (Salacuse, 2008)	Salacuse, 2008	2.5.1
Confidence	Latin	com – together and fidere - faith . Confidence is certainty about a prediction is correct; it is a universal attitude, unconscious background process (Rotter, 1967, 1971)	Rotter, 1967, 1971	2.5.7
Confiança (PT)	Latin	com – together and fidere - faith . Confidence is certainty about a prediction is correct; it is a universal attitude, unconscious background process (Rotter, 1967, 1971).	Rotter, 1967, 1971	2.5.7
Trust	Old Norse, German	Trust is also a "confident positive expectations regarding another's conduct" . Trust is a willingness of one negotiator (trustor) to accept the intervention of another negotiator (trustee). Lewicki et al. defined trust as a "confident positive expectations regarding another's conduct." (Lewicki et al., 1998, p.439). Trust is "the willingness of a party to be vulnerable to the actions of another party based on the expectations that the other party will perform a particular action important to the trustor, irrespective of the ability to monitor or control the other party (Mayer et al., 1995, p.712). Trust is also, "a psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behavior of another" (Rousseau et al., 1998, p.395).	Lewicki, McAllister, & Bies, 1998, p. 439 Mayer et al., 1995, p.712 Rousseau et al., 1998, p.395	2.5.7
Mandatory	Latin	Mandatorius "pertaining to a mandator," from Latin mandatus, past participle of mandare "obligatory because commanded	Mandatory. Online Etymology Dictionary (2015)	4.4.1.3
Compelled	Latin	Compellere from com- "together" + pellere "to drive", meaning "to drive together"	Compelled. Online Etymology Dictionary (2015).	4.4.1.3
Forced	Old French	Forcer "conquer by violence," from force "strength, power, compulsion	Forced. Online Etymology Dictionary (2015)	4.4.1.3

Note: Adapted from Salacuse, 2008; Cantril, 1964; Frank, 1968; Feldman and Snyder, 1999; Lewicki et. al, 1998; Snyder et al. 2000; Rotter, 1967, 1971; Lewicki, McAllister, & Bies, 1998; Mayer et al., 1995; Rousseau et al., 1998. Online Etymology Dictionary, 2015.

4.4.1.5- Contrast analysis

Contrast analysis is a strategy used to analyze data-based or the content-based codes

when comparing two different sources, recommended when the researcher has already an idea

of which main codes will be coded (Schreier, 2012). The Behavioral Event Interview compared two different perspectives of data, positive and negative outcomes per interview. Therefore, Contrast Analysis is a strategy that fits with this research.

According to Schreier (2012), the strategy consists of three steps: (a) to identify patterns within the positive outcomes; (b) to determine patterns within the negative outcomes, and (c) to determine differences between positive and negative outcomes (p.124). The positive and negative outcomes were compared separately and then compared both in three moments: before, during and after the negotiation (event).

First, following Schreier (2012), our findings were analyzed within *positive outcomes* (see Table 23). Regarding TRUST, we report that TR-COBT, TR-CABT, TR-KNBT, and TR-KNBT were present before, during and after the event (negotiation). We also report zero occurrences of TR-DTR and TR-DTBT after the event. Increasing levels of TR-IDBT, decreasing levels of TR-CABT and highest levels of TR-KNBT were observed. Regarding SVO, highest increasing levels of SVO-P-SOCIAL were observed, while reducing the levels of SVO-PSELF. Second, following Schreier (2012), our findings were analyzed within *negative outcomes* (see Table 23). Regarding TRUST, TR-COBT, TR-CABT, and TR-DTR are reported: before, during and after the event (the negotiation). The highest increasing levels of TR-DTR after the event were observed. Decreasing levels of TR-CABT were observed, decreasing levels of TR-KNBT and TR-CABT, zero occurrences of TR-IDBT. Regarding SVO, the highest increasing levels of SVO-PSELF were observed, while reducing levels of SVO-P-SOCIAL.

Third, following Schreier (2012), our findings were analyzed comparing *positive* against *negative outcomes* (see Table 23). Regarding TRUST, the highest levels of TR-DTR were reported in negative outcomes in both before, during and after the event (the

negotiation). The highest almost equal Low-Levels of TR-DTBT were observed. The higher

levels of TR-CABT were also observed in positive and in negative outcomes, although

decreasing levels in both. The maximum occurrence of TR-KNBT was detected in positive

outcomes and decreasing, virtually non-existent levels of TR-KNBT in negative outcomes.

Low but increasing occurrence of TR-IDBT were detected in positive results and non-existent

levels of TR-IDBT in negative outcomes. Regarding SVO, an opposite effect was observed:

while in the positive outcomes the lowest decreasing levels of SVO-PSELF was found, the

highest increasing levels of SVO-P-SOCIAL was found. In negative outcomes, just the

opposite was found: the highest increasing levels of SVO-PSELF were found, the lowest

decreasing levels of SVO-P-SOCIAL were found.

Finally, contrast analysis was used and found: (a) the competitive behavior (SVO-

PSELF) and distrust (TR-DTR) increased in negative outcomes. (b) The Cooperative behavior

(SVO-PSOCIAL) increases the levels of trust based on subsequent interactions. (c) The

highest levels of Trust or Identification-Based Trust (TR-IDBT) are non-existent in negative

outcomes while it occurs in lowest levels on positive results; (c) negative outcomes bring

Trust to zero in TR-DTBT, TR-KNBT (decreasing and virtually non-existent)and TR-IDBT

(see Table 23).

Table 23

Contrast analysis: TR and SVO in positive vs. negative outcomes

Code type	Code	Positive Outcomes			Negative Outcomes		
		Before Event	During Event	After Event	Before Event	During Event	After Event
TRUST: TR	TR-COBT	- -	-	-	-	-	- -
	TR-DTR	- -	-	- -	0	+	++
	TR-DTBT	- -	-	- -	- -	- -	- -
	TR-CABT	-	- -	- -	-	- -	- -
	TR-KNBT	-	-	0	-	- -	- -
	TR-IDBT	- -	- -	-	- -	- -	- -
SVO	SVO-PSELF	0	- -	- -	+	++	++
	SVO-PSOCIAL	+	++	++	0	0	0

LEGEND: -- = lowest   - =low   0= intermediate   + = high   ++ = highest

4.4.1.6- The code network display

Following Miles, Huberman & Saldaña (2014) and analyzed the sub-codes TR-COBT (see Section 4.4.1.4), we presented the relationships between the factors Trust and Social Value Orientation and the respective sub-codes (TR-COBT, TR-CABT, TR-DTBT, TR-KNBT, TR-IDBT, TR-DTR, and SVO-PSELF, SVO-PSOCIAL). It was accomplished through the code network display, as shown in Figure 16, as follows:
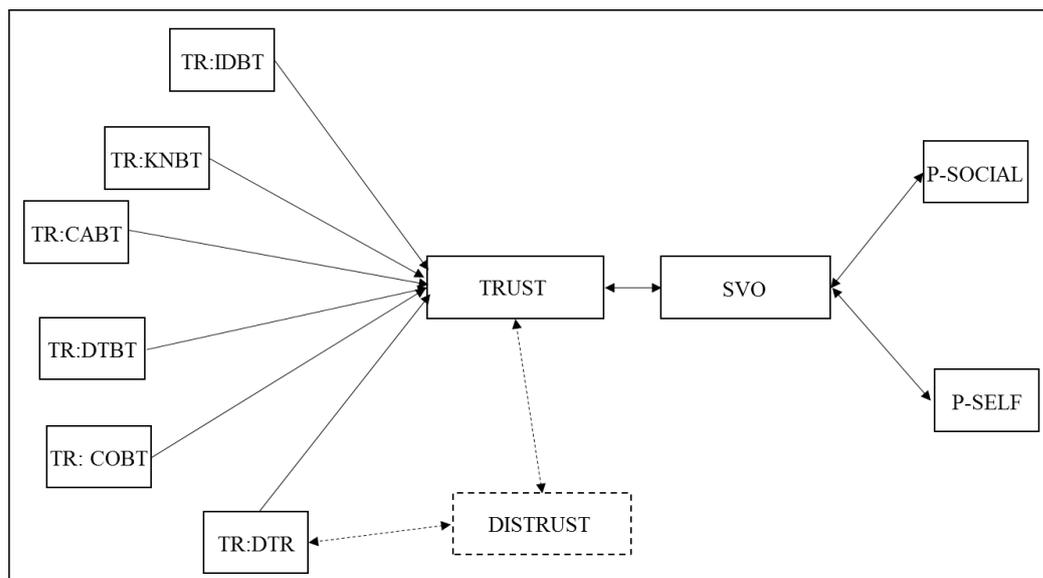
Figure 16. Code Network display

4.4.2- Ethnographic data analysis

Twenty interviewees were interviewed, in which 100 % were Brazilians, and had experience in business negotiations. No gender restrictions were imposed to this research. Nevertheless, 75 % (N=15) of the interviewees were male and 25 % (N=5) the interviewees were female. It was selected the interviewees with a minimum of 25 years of age and time of experience in negotiations minimum of five years. However the average interviewees' age was 42 years old and time of experience in Brazilian business negotiations, an average of 16 years. 100 % of the interviewees were born in three cities: Rio de Janeiro, Minas Gerais and Distrito Federal (Brasília – Federal District).

Although any levels of formal education were not requested, 15 interviewees (75 %) held a Master degree, while five held an undergraduate degree (25 %). No restrictions on their job position were imposed in the present research.

The following professionals were interviewed: five CEOs (25 %), one President (5 %), one Vice-President (5 %), five Directors (25 %), one Project Manager (5 %), two Coordinators (10 %), one Assessor (5 %), two Engineers (10 %), and two salespeople (10%). In total, out of 20 interviewees, 12 interviewees (60 %), were top or high management levels; four intermediate levels (20 %) and four low-levels (20 %). These findings are shown in Table 24, as follows:

Table 24

Interviews ethnographic summary

Interviewee	Job position	Local	Time of Experience (Years)	Interview Duration (min)	Interview Language	Income (BRL)	Age (years old)	Gender (M/F)	Education Level
MSSITHE001	VP Siemens	Brasilia	28	120	PT	up 40.000,00	52	M	Master
MSSITHE002	Presidency Assessor RADIX	Rio de Janeiro	10	60	PT	5-10.000,00	39	F	Undergraduation
MSSITHE003	Strategy Director	Rio de Janeiro	15	40	PT	20-40.000,00	48	M	Master
MSSITHE004	Federal Auditor TCU	Brasilia	10	10	PT	20-40.000,00	49	M	Master
MSSITHE005	Procurement coordinator RADIX	Rio de Janeiro	25	50	PT	5-10.000,00	62	M	Logistics
MSSITHE006	Social Responsibility coordinator Petrobras	Rio de Janeiro	9	60	PT	5-10.000,00	33	M	Master
MSSITHE007	Managing Director	Rio de Janeiro	23	40	PT	up 40.000,00	44	M	Master
MSSITHE008	CEO	Minas Gerais	7	60	PT	5-10.000,00	28	F	Undergraduation
MSSITHE009	Civil Engineer	Minas Gerais	7	60	PT	5-10.000,00	28	F	Undergraduation
MSSITHE010	CEO	Rio de Janeiro	20	45	ENG	20-40.000,00	52	M	Master
MSSITHE011	Analist, Coordinator	Rio de Janeiro	9	70	PT	5-10.000,00	32	F	Master
MSSITHE012	Director	Rio de Janeiro	10	40	ENG	5-10.000,00	33	M	Master
MSSITHE013	Project Manager	Rio de Janeiro	10	30	PT	20-40.000,00	47	M	Master
MSSITHE014	Director	Rio de Janeiro	16	32	ENG	20-40.000,00	41	M	Master
MSSITHE015	Logistics Sales Executive	Minas Gerais	10	60	PT	5-10.000,00	39	F	Undergraduation
MSSITHE016	Institutional Relations Director	Rio de Janeiro	25	60	ENG	20-40.000,00	47	M	Master
MSSITHE017	IPMA Brazil President	Rio de Janeiro	13	45	PT	20-40.000,00	32	M	Master
MSSITHE018	CEO Idear Consulting	Rio de Janeiro	14	35	PT	20-40.000,00	37	F	Master
MSSITHE019	Board Member Verano Advogados	Rio de Janeiro	20	48	ENG	20-40.000,00	47	M	Master
MSSITHE020	CEO Radix Engenharia	Rio de Janeiro	30	40	PT	20-40.000,00	50	M	Master
20 Interviewees	**4 CEOs, 1VP, 1 President, 5 Directors, 9 others**	**100% Brazil Southeast Region**	**16**	**50**	**1.005 (†)**	**20-40.000,00**	**42**	**M-15 (75%)**	**Master (75%)**
TOTAL	TOTAL	TOTAL	MEAN	MEAN	TOTAL	MEAN	MEAN	F-5 (25%)	Undergraduation (25%)

† Note: 1.005 minutes correnponds to 16 hours and 46 minutes of recordings. Interviews started on August 4 and ended on August 8, 2015.

4.4.3- Cluster Analysis

Following Miles, Huberman & Saldaña (2014) the interviews were analyzed through Cluster Analysis: the conceptually clustered matrix (Section 4.4.3.1) which includes "major roles, research subtopics, factors, concepts, and/or themes" (p.173). The cluster analysis of the negotiation's primary motivations (Section 4.4.3.2). The factor-by-factor matrix cluster analysis (Section 4.4.3.3); cluster analysis: lessons learned (Section 4.4.3.4); cluster analysis:

case dynamic matrices Analysis (Section 4.4.3.5). Finally, cluster analysis: supportive

matrices Analysis.

4.4.3.1-Cluster analysis: conceptually clustered matrix

The conceptually clustered matrix was destined to analyze the interviewees clustered

by professional roles, in search for patterns between the responses and the key interviewees.

Table 25 shows, regarding Social Value Orientation in all the managerial levels that the 20

positive outcomes were P-SOCIAL (SVO-prosocial) after the event, while the negative

outcomes eighteen were P-SELF (SVO-proself) and two P-SOCIAL.

Table 25 provides a new perspective on Trust and SVO. So far, our findings keeping

the focus on codes were presented (see the Tables 17, 18, 19, 20, 21 and 23). Then, the

interviewees were put in perspective, to search for patterns that could suggest a particular

behavior, regarding the cluster, chosen.

Job position was clustered (see Table 25, and the Section 4.4.3.1) because we analyzed

if there was a particular behavior or emerging pattern regarding the interviewee's job

positions. Then, following the primary motivations (see Table 26, and the Section 4.4.3.2).

Next, factor-by-factor cluster (Table 27, see the Section 4.4.3.3), lessons learned (Table 28,

see the Section 4.4.3.4). Finally, positive outcomes (Table 29, see the Section 4.4.3.5),

negative outcomes (Table 30, see also the Section 4.4.3.5), and supportive matrices

(Appendix J, see the Section 4.4.3.6).

First, the interviewees were grouped according to their job positions. Then, a column

called, "gender" was devised and reproduced the findings in positive and negative outcomes,

before, during and after the events. Finally, the incidences of the Trust and Social Value

Orientation sub-codes were assigned, respectively.

Table 25 *The conceptually clustered matrix*

Clusters				Positive Outcomes						Negative Outcomes					
				Before Event		During Event		After Event		Before Event		During Event		After Event	
Level	Role	Participant	Gender	TR	SVO	TR	SVO	TR	SVO	TR	SVO	TR	SVO	TR	SVO
T	CEO	MSSITHE020	M	**COBT**	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	CEO	MSSITHE018	F	**COBT**	PSELF	**COBT**	PSELF	CABT	PSOCIAL	KNBT	PSELF	DTR	PSELF	DTR	PSELF
	CEO	MSSITHE014	M	CABT	PSELF	**COBT**	PSELF	**COBT**	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	CEO	MSSITHE010	M	KNBT	PSELF	CABT	PSOCIAL	KNBT	PSOCIAL	**COBT**	PSELF	DTR	PSELF	DTR	PSELF
	CEO	MSSITHE004	M	IDBT	PSOCIAL	IDBT	PSOCIAL	IDBT	PSOCIAL	CABT	PSOCIAL	CABT	PSOCIAL	DTR	PSELF
T	President	MSSITHE017	M	CABT	PSELF	CABT	PSOCIAL	**COBT**	PSOCIAL	DTR	PSELF	COBT	PSELF	**COBT**	PSELF
	Vice-President	MSSITHE001	M	CABT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	CABT	PSELF	CABT	PSELF	DTR	PSELF
H	Director	MSSITHE019	M	KNBT	PSOCIAL	CABT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	DTR	PSELF
	Director	MSSITHE016	M	CABT	PSOCIAL	**COBT**	PSOCIAL	KNBT	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	Director	MSSITHE012	M	KNBT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	Director	MSSITHE007	M	CABT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSELF	**COBT**	PSELF	DTR	PSELF
	Director	MSSITHE003	M	KNBT	PSOCIAL	KNBT	PSELF	CABT	PSOCIAL	IDBT	PSELF	DTR	PSELF	DTR	PSELF
I	Project Manager	MSSITHE013	M	KNBT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	DTR	PSELF	**COBT**	PSELF	CABT	PSOCIAL
	Coordinator	MSSITHE011	F	**DTR**	PSELF	**DTR**	PSELF	CABT	PSOCIAL	**COBT**	PSELF	**COBT**	PSELF	DTR	PSELF
	Coordinator	MSSITHE006	M	**COBT**	PSOCIAL	**COBT**	PSOCIAL	IDBT	PSOCIAL	**COBT**	PSOCIAL	DTR	PSELF	CABT	PSELF
	Assessor	MSSITHE002	F	IDBT	PSOCIAL	IDBT	PSOCIAL	IDBT	PSOCIAL	CABT	PSOCIAL	CABT	PSOCIAL	DTR	PSELF
L	Procurement	MSSITHE005	M	KNBT	PSOCIAL	KNBT	PSOCIAL	KNBT	PSOCIAL	CABT	PSELF	DTR	PSELF	CABT	PSELF
	Engineer	MSSITHE008	F	CABT	PSOCIAL	KNBT	PSOCIAL	IDBT	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	Engineer	MSSITHE009	F	KNBT	PSELF	CABT	PSELF	CABT	PSOCIAL	DTR	PSELF	DTR	PSELF	DTR	PSELF
	Saleswoman	MSSITHE015	F	CABT	PSOCIAL	CABT	PSOCIAL	CABT	PSOCIAL	CABT	PSELF	CABT	PSOCIAL	CABT	PSOCIAL

Legend: T= Top Level Management H= High Level Management I= Intermediary Level Management L= Low Level Management M=male F=Female

Our analysis indicated that (a) SVO-prosocial was found in all positive outcomes after the event in the 20 interviews. (b) SVO-proself was found in all negative outcomes after the case in 18 out of 20 interviews (90 %), suggesting that interviewees may perceive a cooperative behavior associated with success and conversely, a competitive behavior related to the failure. (c) Trust increased in positive outcomes, and (d) decreased in negative outcomes. Positive or negative outcomes seem to have some impact on Trust, as perceived by interviewees.

4.4.3.2- Cluster analysis: the primary motivations

The primary motivations of all the interviewees were also analyzed, with the objective to find underlying motivations and facts that could help to identify the causal chains (see Section 4.4.4).

The relevant difference between gender's primary motivations was not found. Primary motivations were investigated regarding the positive and negative outcomes, as depicted in Table 26, continued the next page:

Table 26 *Cluster analysis of the negotiation the primary motivations*

Clusters				Positive Outcomes	Negative Outcomes
Level	Role	Participant	Gender	Primary motivations	Primary motivations
T	CEO	MSSITHE020	M	Closing 120 MM project with Petrobras - RENESTE	Avoid loss of 12 MM contract with european company
	CEO	MSSITHE018	F	Finish project of alluminum boiler software successfully	Doing business with old Master classmate
	CEO	MSSITHE014	M	Finish prooject Rio Olympics 2016 with City Mayor	Finish restoration construction site successfully
	CEO	MSSITHE010	M	Being paid accorddinglyt to FDC Worls Tour 2014	Doing business with unknown client
	CEO	MSSITHE004	M	Changing career successfully through public contest to TCU	Initiate Environmental Licensing business in competitive scenario
T	President	MSSITHE017	M	Founding IPMA Brazil	Approving IPMA Brazil to the international certification IPMA program
	Vice-President	MSSITHE001	M	Building a 3 MM power plant in Bahia - BA	Building a 300 MM power plant in Maceio - AL
H	Director	MSSITHE019	M	Terminating CEO contract	Acquiring new client's account
	Director	MSSITHE016	M	Bringing BMW to Brazil	Install the European standard first HD TV standard in Brazil
	Director	MSSITHE012	M	Signing a convenium between two institutions	To calculate financial issues between two litigant health insurance companies
	Director	MSSITHE007	M	Reverting failure project with top client	Recovering financial loss (claim) with State Government resistant client
	Director	MSSITHE003	M	Negotiating successfully consultancy fee	Building real state in partnership
I	Project Manager	MSSITHE013	M	Negotiating guarantee terms with service provider	Negotiating 45 MM equipment with Brazilian company
	Coordinator	MSSITHE011	F	Negotiating minor community demands about reallocation	Negotiating minor community demands about reallocation
	Coordinator	MSSITHE006	M	Coordinating 3,000 large event at Petrobras	Negotiating with European company Augmented reality for event
	Assessor	MSSITHE002	F	Acquiring software license	Salary negotiation with assistant
L	Procurement	MSSITHE005	M	Budget adjustments with major client	Buying furnace to deliver in a project of Petrobras
	Engineer	MSSITHE008	F	Acquiring software license	Selling services to 20 clients
	Engineer	MSSITHE009	F	Negotiating broken partnership during project execution	Negotiating unworkable contract
	Saleswoman	MSSITHE015	F	Selling logistic services to new client	Selling logistic services to new client

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management L= Low Level Management   M=male   F=Female

4.4.3.3- Cluster analysis: factor-by-factor matrix

Cluster analysis was combined with a factor-by-factor matrix (Miles, Huberman & Saldaña, 2014, p.223). This type of analysis is useful for our research because it provides a new perspective regarding the factors incidence, through a graphic visualization of sub-codes' incidence per factor, assembled together in Table 27.

Table 27 was organized by cluster, to explore if there was any relevant behavior regarding job position to be mentioned. The factors were also compared regarding gender, and positive and negative outcome's incidence, to investigate whether they applied to each case or the cluster, according to Table 27.

We found no particular, or relevant behavior regarding gender or job position when we compared these factors. Our analysis indicated a great incidence of distrut (DTR) and competition (SVO-PSELF) in negative outcomes. We also found a great deal of cooperation (SVO-PSOCIAL) and Knowledge-Based Trust (TR-KNBT) in positive outcomes than in negative outcomes, as depicted in Table 27, continued the next page.

Table 27 *Cluster analysis: factor by factor*

Level	Role	Participant	Gender	Pos DTR	Pos COBT	Pos DTBT	Pos CABT	Pos KNBT	Pos IDBT	Pos PSELF	Pos PSOCIAL	Neg DTR	Neg COBT	Neg DTBT	Neg CABT	Neg KNBT	Neg IDBT	Neg PSELF	Neg PSOCIAL
T	CEO	MSSITHE020	M		★			★			★	★						★	
T	CEO	MSSITHE018	F		★		★			★	★	★				★		★	
T	CEO	MSSITHE014	M		★		★			★	★	★				★		★	
T	CEO	MSSITHE010	M					★		★	★	★	★					★	
T	CEO	MSSITHE004	M						★		★	★		★				★	
T	President	MSSITHE017	M		★		★		★	★	★	★	★					★	
T	Vice-President	MSSITHE001	M		★		★	★		★	★	★		★	★			★	
H	Director	MSSITHE019	M	★		★		★			★	★				★		★	★
H	Director	MSSITHE016	M	★	★		★	★	★		★	★						★	
H	Director	MSSITHE012	M					★			★	★						★	
H	Director	MSSITHE007	M				★	★			★	★	★					★	
H	Director	MSSITHE003	M			★	★	★		★	★	★		★	★			★	
I	Project Manager	MSSITHE013	M					★			★	★	★					★	★
I	Coordinator	MSSITHE011	F	★		★	★			★	★	★	★					★	
I	Coordinator	MSSITHE006	M		★			★			★	★	★			★		★	★
I	Assessor	MSSITHE002	F	★	★	★	★	★	★	★	★	★			★			★	★
L	Procurement	MSSITHE005	M						★		★				★	★		★	★
L	Engineer	MSSITHE008	F				★	★	★		★	★				★		★	
L	Engineer	MSSITHE009	F		★	★		★		★	★	★	★					★	
L	Saleswoman	MSSITHE015	F				★				★				★			★	

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management   L= Low Level Management   M=male   F=Female   ★ = variable occurrence

Source: Dias and Delorme, 2015

4.4.3.4 – Cluster analysis: lessons learned

The experiences from interviewees were analyzed in a clustered way (Saldaña, 2013). Table 28 (see next pages) helped us to understand what interviewees if they had a chance, would do differently in retrospective if they could go back in time and change the course of action. We asked this question of the interviewees to provoke their reflection in the cases related.

For instance, MSSITHE003 told that he never shared his experience with anyone else and did not think, so far, what he would do different (referring to interview #3.2 - failure case). In this sense, it was a real experience: "*the cases I narrated are cases that I do not talk much about it the second case, mostly, I do not comment to anyone; it is interesting you can reassess it*" (MSSITHE003). In this sense, the answers gave us insights on lessons learned.

Regarding positive outcomes, 14 out of 20 interviewees (70 %), would do nothing different from past actions. Possibly, the Brazilians interviewed perceived that they prefer to maintain a successful strategy than change it. Conversely, with the failure cases occurred the opposite: only one of the 20 interviewees (5 %) would do the same if he could go back in time.The majority (95%) would do something different (to be described later). Our analysis revealed that the interviewees learned with their mistakes and would propose a new course of action to avoid the failure in their negotiations.

Regarding gender differences, our analysis indicated that we did not find any significative difference between genders regarding lessons learned.

Table 28 had to be cut in three pages because it is too large. It did not fit in one single page. Therefore, Table 28 is depicted in the next three pages, as follows:

Table 28 *Cluster Analysis – Lessons learned*

	Clusters			Positive Outcomes	Negative Outcomes
Level	Role	Participant	Gender	Doing Differently	Doing Diferently
T	CEO	MSSITHE020	M	wouldn't do anything different	we "had to approach of those who had more practice under negotiation within the company, we realized that we needed to have something more negotiation, putting the first people able to do this work there with the team, and maintaining constant communication there with the staff, and go seeing what was going on, always doing follow-up to you to make sure that the thing we're not getting out of hand"
	CEO	MSSITHE018	F	wouldn't do anything different	"What do I do now and then lessons learned, it is that if I negotiate a type of contract like this, training, consulting, and I do not know the person, or I think I know the person, you never know, I put in the proposal as well, quality level, scope, more than was asked to just when that person ask for discount, I cut scope out, I put this, we will take it here, in the case of training. To perform a customization"
	CEO	MSSITHE014	M	"– I think it was a successful one, I had to say no, they did not understand at the first moment but ate the end they understood. Right now it is all good".	"Would negotiate. We did not negotiate!"
	CEO	MSSITHE010	M	wouldn't do anything different	"I've been already doing this (after). No matter I may sound repetitive: - what do you want to say about this? What do you want in this situation? What have you done before? I make many questions, and appreciate what they have done before, value what they have done before, and the company (coughs). I would do this differently".
	CEO	MSSITHE004	M	wouldn't do anything different	"I would not be so eager, try to win the government negotiating small projects (instead of big ones) do not compete directly against the big firms. I would not try to beat them".
T	President	MSSITHE017	M	"Nothing"	"Nothing"
	Vice-President	MSSITHE001	M	"I first would make a study about the impact on the expectations of my counterpart regarding this negotiation in relation to their values, and then start the negotiation process"	"sure, I would have started by Petrobras. (I would) persuade them it was an important project for Brazil, important to them and important to everyone.

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management   L= Low Level Management   M=male   F=Female

Note: table continues in the next page

Table 28 *Cluster analysis – Lessons learned (continuation)*

Clusters				Positive Outcomes	Negative Outcomes
Level	**Role**	**Participant**	**Gender**	**Doing Differently**	**Doing Diferently**
H	Director	MSSITHE019	M	"I would do the same. In this case, I would do the same."	"I would work hard to protect myself against my client."
	Director	MSSITHE016	M	wouldn't do anything different	"– yeah, I think that it is easier for you planning looking at the past, but if you look back and take some lessons, I think that these group of European companies they should have done more aggressive campaigns, that they would pay more. Everybody wanted that system TV, everybody wanted that system TV, but if they knew they would pay higher than the other one, maybe it is a way that they would do a better choose. The problem was that the biggest media group in Brazil (OC: TV Globo) was against that. It would be another fight in anther terrain negotiation, We did some comparisons, but I think if we did more aggressive media campaigns it would be better".
	Director	MSSITHE012	M	"I don't know....I think we needed more velocity more speed in the process"	"if I could go back in time, they don't have truth"
	Director	MSSITHE007	M	"I think so: the ideal would be to avoid the crisis process itself, actually it proved to be lack of attention on our part to this particular problem that allowed the problem to expand ... but I think that everything has a good side. The things that I mentioned, crises, although they are difficult and everything else, if crises are well treated in a positive sense, they may even end up as a good result for the relationship. It is positive."	"The scope was poorly defined, poorly structured. But the point is not the cause, but the solution of the problem. We have to solve the problem that already existed. I think about the negotiation, it is a way that allow you to create pathways. I think about solutions for scope errors. When there is no way you cannot think of a solution, conventional, the case is so restricted that there is no way to find a solution. But often the cause passes through it. And if there is a little trust involved among people, they will end up finding a solution to the problem. I saw very other cases where the main point was the case of loss of Trust, breach of trust, by deliberate deception of one party."
	Director	MSSITHE003	M	": I made a mistake and that mistake, in a way, undermines the trust between parties, but shakes of a subtle way, a more psychological issue. What was my mistake? When he spoke 2x what I did Murillo? I accepted"	"What I would do differently at this meeting I would have had that emotional outburst and that's something I know how to do very well, but today I really had a heavy emotional reaction, and I draw this basically to the total breakdown of trust and play all our dreams in the trash, right"

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management   L= Low Level Management   M=male   F=Female

Note: table continues in the next page

Table 28 *Cluster analysis – Lessons learned (continuation)*

	Clusters			Positive Outcomes	Negative Outcomes
Level	Role	Participant	Gender	Doing Differently	Doing Diferently
I	Project Manager	MSSITHE013	M	wouldn't do anything different	"they didn't trust the project, they didn't trust the company"
	Coordinator	MSSITHE011	F	"I would work with other community element, an element that was not a leading, another witness, who is not a trendsetter, I had another vision of the community. In addition to the leaders, a neutral person from the community. I saw the need to call someone else the neutral community that did not think there was any favoritism"	"I should put pressure on the manager to define who would be the main interlocutor. Who would effectively responsible for the negotiations."
	Coordinator	MSSITHE006	M	"what I would do differently. Look, what I would do differently now as well at the moment, I do not know, maybe if I had, if I could delegate more, it might be better. If you could have delegated more centralized less tasks on my responsibility"	"Look, what I could do is not make such a specialized service in such a short time. Because it had a risk, right? I had a risk. I could not do. I would have to generate another type of material and the technology is very new including within Brazil,"
	Assessor	MSSITHE002	F	wouldn't do anything different	"What I would do differently was a contract, I would pick a more senior person, a person with more job experience, because I think we lacked a bit of maturity to her..."
L	Procurement	MSSITHE005	M	wouldn't do anything different	"I would have made a deal with one of the companies who participated in the bidding process with the Radix and who has lost ... by a little difference,"
	Engineer	MSSITHE008	F	"not I think this was the way it had to be a long way and time consuming, but it has international recognition."	"(to) rely more on my experience, I was going for the other view, I was going Murillo Dias: - a marketing research help..."
	Engineer	MSSITHE009	F	wouldn't do anything different	"- I think I would have fought more to participate in its creation. Because the design has generated so many problems. In some contracts I was engaged in its design. This contract was a quick execution one and we had both fought for nothing, we had already worn so much that when we make the contract specifically, therefore we did not fight enough to be able to participate in their design."
	Saleswoman	MSSITHE015	F	"well, I should bring my director with me more times. He is the responsible for a huge account, the national Apple Computer logistics' responsible, a very good guy, expert in air operation and he sure would provide more solutions me, which, of course, with their experience in operations like this, so I should have brought my head to keep me in a big negotiation like this. "	"look, what I have sinned at the first moment, as I do I answer a range of a very large area in the south of, I should have persisted faster with this client because he just not interesting, spent the time, I put aside, came back after a month, I should have come back sooner, have insisted more, then that's what I think I have sinned. I should have persisted with diligence, acted faster than I did."

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management   L= Low Level Management   M=male   F=Female

4.4.3.5- Cluster Analysis: case dynamic matrices

We combined a cluster analysis with case dynamic matrices (Miles, Huberman & Saldaña (2014), to "trace the consequential processes and outcomes" (p.231), according to tables 29 (positive outcome case dynamic matrix) and Table 30 (negative outcome case dynamic matrix).

Tables 29 and 30 showed how the negotiations started, how they evolved and finished, and aggregating short and long-term consequences. These matrices were very useful to provide information supporting the causal chains for both outcomes (see Section 4.4.4).

Our analysis of Table 29 (positive outcomes) revealed promising short and long-term consequences to both relationship, and the substance negotiated. The interviewees perceived positive outcomes as reasons for future negotiations, stretching relationship places, opportunities for new businesses and projects, a good reputation that came from fostering Trust, for instance. We did not find any perceptible behavior regarding gender or job position.

Conversely, our analysis on Table 30 (negative outcomes) revealed unpromising short and long-term consequences of both relationships, and the substances negotiated. The interviewees perceived broken trust as causes for distrust, scarce or no future businesses, and projects; damage to the relationship even rupture; bad corporate and personal reputation, for instance.

Tables 29 and 30 had to be cut in three pages each because they are too large to be presented in two single pages. Therefore, Tables 29 and 30 are depicted in the next six pages, as follows:

Table 29 *Cluster analysis: positive outcome case dynamic matrix*

	Clusters			Positive Outcomes				
Level	Role	Participant	Gender	Difficulties, strains	Underlying issues (as seen by the researcher)	How resolved	Short-term Consequences	Long-term Consequences
T	CEO	MSSITHE020	M	Large scale project over 450 peolpe involved different stakeholders to deal with	How to deal with a project blocker. She identified the problem and took measures to avoid failure.	Trust among project constituents based on: Good communication between team members Technical qualification among team members; Cooperative environment among project team members	Delivered 120 MM project to Petrobras - RENESTE	New bigger projects in the future
	CEO	MSSITHE018	F	Alluminium boiler control sofware substituted - time constraints	How to deal with a project blocker. She identified the problem and took measures to avoid failure.	Gained trust from project blocker to show him that they were not a menace; involving project superior to	Finished project of alluminum boiler software successfully	New contracts in the future Built relationship
	CEO	MSSITHE014	M	Mayor asked na additional item to the project, a fence, not constanto of the project scope. And did not want to pay for it	Mayor is distrustful person. He was obliged by circumstances to deal with a corrupt powerful person Brazilian endemic problem in projects: corruption	Building trust with project blocker; avoiding city Mayor's demands; Patience; endurance; persuasion Asked for a vote of Trust (ongoing process)	Finished prooject Rio Olympics 2016 with City Mayor	New projects, building solid reputation Good relationship with Mayor
	CEO	MSSITHE010	M	Travelling for many countries receiving the same as in Brazil, for local classes. Annyversary to be celebrated with wife. FDC wanted to pay little, they were mean.	Absence of counterpart's BATNA; high Roberto's technical qualitication; exploring new situation; FDC trusted him and his skills cooperative environment good communication channel between parties	Made audacious honorarium demand. They accepted because there was nobody available.	He was paid accorddinglyt to FDC World Tour 2014	New projects, stronger relationship, accomplished with success, client called him again, trust building
	CEO	MSSITHE004	M	Sell own company and change careeer with more than 4o yo.	Family could be a blocker	Made a significant change in career	Changed career successfully through public contest to TCU	Current TCU Auditor, still married
T	President	MSSITHE017	M	To expell ABGP and to found IPMA Brazil	Had to trust without knowing previously	Asked for a vote of Trust and proved to be worth of it	Founded IPMA Brazil	Continued in IPMA presidency
	Vice-President	MSSITHE001	M	To build the first Bahian power plant	Difficulties in dealing with people he never met before and from other intra-cultures. Short-sighted Simens	Accepted local Bahian demands	Built a 3 MM power plant in Bahia - BA	Power plant sold to a Japanese group. Still operating

Legend: T= Top Level Management   H= High-Level Management   I= Intermediary Level Management   L= Low-Level Management   M=male   F=Female

Note: Table continues the next page

Table 29 *Cluster analysis: positive outcome case dynamic matrix (continuation)*

	Clusters			Positive Outcomes				
Level	Role	Participant	Gender	Difficulties, strains	Underlying issues (as seen by the researcher)	How resolved	Short-term Consequences	Long-term Consequences
H	Director	MSSITHE019	M	A 30-year company CEO was fired by a junior HR staff	indignity, absence of morality; short-sight, even stupidity on act or deliberate aggresion act	Trustworthiness to old friend and terminated CEO	Terminated CEO contract	Friendship remained atronger than before
	Director	MSSITHE016	M	INOVAR AUTO. Corrupt PT government. Laws ineffectives. 30 pp. i.t increase	many players, government corrupt, necessity of trust without knowing	Used transparency and understanding interests at stake	Brought BMW to Brazil	Strong relationship of trust. New consultancies
	Director	MSSITHE012	M	Convenium could not be celebrated	Both parties wanted it	Trust between parties	Signed a convenium between two institutions	New businesses with both constituents. Solid bonds of trust
	Director	MSSITHE007	M	Consultancy project was a liability to client	Short-sighted team of project. Lack of understanding the real needs and interests of client	Made a crucial intervention and saved the project and retained the client	Reverted failure project with top client	Several new contracts with the same client. Solid reputation kept. Bond of trust much stronger
	Director	MSSITHE003	M	Consultancy project	Accepted first offer too fast. Winner's curse	Proved to be a value asset to the investment made by contractor	Negotiated successfully consultancy fee	Project finished and delivered. Client satisfied. New projects
I	Project Manager	MSSITHE013	M	Equipment maintanance - very expensive service	Others could suspect facilitation on his part	Trusted old friend and supplier	Negotiated guarantee terms with service provider	Client kept, friendship stronger than before. New opportunities for both
	Coordinator	MSSITHE011	F	Slum reallocation	Bad faith, shot-sightedness, ignorance, lack of trust and lack of command	Attended minor reinvidications	Negotiated minor community demands about reallocation	Community was not realocated, but received minor demands
	Coordinator	MSSITHE006	M	Pre-Salt inauguration	Trust in unkown people	Proved to Presidential Cerimonial trusthworthines throughh intense dedication	Coordinated successfully 3,000 large event at Petrobras	Was promoted to new positions
	Assessor	MSSITHE002	F	Techincal staff failed in acquire software	Techincal staff failed in acquire software, lazyness, lack of persistence	Made risky intervention contacting president of the company directly	Acquired software license	New software licences. New opportunities for both

Legend: T= Top Level Management   H= High-Level Management   I= Intermediary Level Management   L= Low-Level Management   M=male   F=Female

Note: table continues the next page

Table 29 *Cluster analysis: positive outcome case dynamic matrix (continuation)*

Clusters				Positive Outcomes				
Level	**Role**	**Participant**	**Gender**	**Difficulties, strains**	**Underlying issues (as seen by the researcher)**	**How resolved**	**Short-term Consequences**	**Long-term Consequences**
L	Procurement	MSSITHE005	M	Budget would not be achieved at determined month	Integrating many counterparts in harmony. Trust in many people inside and outside the company.	Decided to change budget entries	Budget adjustments with major client	Changed company in the future with good references.
	Engineer	MSSITHE008	F	Very expensive diagnosis software. Samll firm buildind partnership with much larger one.	Too young and inexperienced person dealing with multinational	Built a strong partnership with Multinational company	Acquired software license	Represents the multinational company
	Engineer	MSSITHE009	F	Partnership broken in the middle of the project	Broken trust, failure in execution	Had patience to deal with partnership broken during a project execution	Negotiated broken partnership during project execution	Finished project, left the company two years later
	Saleswoman	MSSITHE015	F	New client's account logistic services acquisition	Lack of good strategy to approach client	Persisted with client to gain trust	Sold logistic services to new client	Client has signed a contract. Built stronger bonds of trust. Improved relationship. Better communication channel

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management   L= Low Level Management   M=male   F=Female

Table 30 *Cluster analysis: negative outcome case dynamic matrix*

| Clusters | | | | Negative Outcomes | | | | |
Level	Role	Participant	Gender	Difficulties, strains	Underlying issues (as seen by the researcher)	How resolved	Short-term Consequences	Long-term Consequences
T	CEO	MSSITHE020	M	Broken trust through leaving Petrobras out of the negotiation process	lack of responsability of all involved. The project started with 10 people and then came to 50 and was unworkable. How the trust was broken, without any possibility of repairing, given the high losses for both.	There was no solution for this case. Broken trust and overall failure	Conract rupture, dismissal of 50 people	Never did project with this client again
	CEO	MSSITHE018	F	classmate demanded abusive discount	Marcela told me how a classmate lost her trust on a pretense friendship in the exact moment that he tried to squeeze her in a training price, asking for absurd reductions.	There was no solution for this case. Broken trust and overall failure	Did not make a deal with classmate	Lost entirery trust on classmate. Never did business again with him, and will pay more attention to similar cases
	CEO	MSSITHE014	M	One party abused of previous trust and made unaccptable demands	trust could be destroyed because of tacit agreement, misused by the counterpart in order to ask for more money in a restoration contract.	There was no solution for this case. Broken trust and overall failure	Broken trust and project completion	Never trust the client again without written rigid contract. Broken trust and no future contracts
	CEO	MSSITHE010	M	Did not pay due attention to clients' needs	trust was broken because Roberto didn't pay attention the the clients' real interests.	There was no solution for this case. Broken trust and overall failure	Broken trust and loss of consultancy	Never made business with the same client again
	CEO	MSSITHE004	M	Arrogance. Tried to beat on a competition a major player	Waldo described a lack of perception when he came from USA and thought in opening his business here, with the same mentality of US entrepreneurs.	There was no solution for this case. Broken trust and overall failure	Got project reproved for 1 point	Abandoned type of business
T	President	MSSITHE017	M	Coallition to divide IPMA in LAC blocks under Chilean command	a domination plot was orchestrated by the certification director from IPMA leading to rupture and re-processing all the certifications into a full certification provider	There was no solution for this case. Broken trust and overall failure	Broken trust;block rupture; re-certification process	SVO-PSELF-H
	Vice-President	MSSITHE001	M	Broken trust through leaving Petrobras out of the negotiation process	My perception was that hiding information (proposital or not), was interpreted by the other side, Petrobras, as a gesture of broken trust. The relationship deteriorated and the power plant was never built, 17 years ago.	There was no solution for this case. Broken trust and overall failure	Failure in building 300 MM power plant in Maceio; Broken trust	Maceio has never had a power in its whole history, still today

Legend: T= Top Level Management   H= High-Level Management   I= Intermediary Level Management   L= Low-Level Management   M=male   F=Female

Note: table continues the next page

Table 30 *Cluster analysis: negative outcome case dynamic matrix (continuation)*

	Clusters			Negative Outcomes				
Level	Role	Participant	Gender	Difficulties, strains	Underlying issues (as seen by the researcher)	How resolved	Short-term Consequences	Long-term Consequences
H	Director	MSSITHE019	M	Broken trust through Client demanded too much information and never signed contract	one Billionaire family was playing auction game with him and other lawyers, interested in taking the multimillion dollar case.	There was no solution for this case. Broken trust and overall failure	Contract never signed and broken trust	Never do business with this prospect again
	Director	MSSITHE016	M	Chosen Japanese HD TV standard. The worst for Brazil	It is remarkable, how a TV channel passed the worst and most expensive standard to keep control of TV production in Brazil.	There was no solution for this case. Broken trust and overall failure	Brazilian government paid more for less	Brazil does not have interactive content in TV - poor quality service
	Director	MSSITHE012	M	Price divergency lead parties to Court	Samuel did the calculations for both and observed that both were wrong. Once more, competition leads to breaking trust, difficul to repair.	There was no solution for this case. Broken trust and overall failure	Broken trust and no deal (still in Court)	Never made business with the same client again
	Director	MSSITHE007	M	State government official did not honor contract	His company at the end of the day, abandoned the project losing 20% of the gross income in claims never paid by the state office.	There was no solution for this case. Broken trust and overall failure	Trust broken, company delivered project accepting huge loss	Never made business again with that government
	Director	MSSITHE003	M	Partnership terminated unilaterally. Broken trust	Murilo also showed how impotant proved to be trusting in his accountant's advice. Once again, competitive envirnment was related to poor results as well as broken trust.	There was no solution for this case. Broken trust and overall failure	Project real state building never finished	Never again had businesses with that counterpart
I	Project Manager	MSSITHE013	M	Brazilian company did not trust buyer	Hudson told me how a Brazilian company could let go a 45 million dollar equipment acquisition based on the false premise that the client (himself) was bluffing about how much they could really pay.	There was no solution for this case. Broken trust and overall failure	Brazilian company lost a $ 45 MM deal	Never made business with the same client again. Competitor took over.
	Coordinator	MSSITHE011	F	Internal disagreement among team members, no leadership	one community (slum) tried to paralize the reallocation work, in detriment for themselves. They strived to get concessions out of the table.	There was no solution for this case. Broken trust and overall failure	Paralisation of industry works	Comunity was never attebded

Legend: T= Top Level Management   H= High-Level Management   I= Intermediary Level Management   L= Low-Level Management   M=male   F=Female
Note: table continues the next page

Table 30 *Cluster analysis: negative outcome case dynamic matrix (continuation)*

	Clusters			Negative Outcomes				
Level	Role	Participant	Gender	Difficulties, strains	Underlying issues (as seen by the researcher)	How resolved	Short-term Consequences	Long-term Consequences
I	Coordinator	MSSITHE006	M	Company did not make any effort to deliver it	The European company was not able to fulfill the promised. In retaliation, Pedro, using his position of a major player in Brazilian business scenario, asked for more than originally hired and succeeded, in an attempt to rebuild trust, the company conceded the augmented reality software for free.	There was no solution for this case. Broken trust and overall failure	Software was not delivered, borken trust	Company had to deliver it for free and more one request in order to save reputation
	Assessor	MSSITHE002	F	Broken trust through lasking salary raise in a disrespectful manner	Bianca told me about a secretary assistant who was pro-self and asked in a disrespectful manner salary raise. It is incredible how lack of perception od the momentum is crucial for negotiations.	There was no solution for this case. Broken trust and overall failure	Assistant fired	more criteraia established to avoid this kind of situation when hiring
I	Procurement	MSSITHE005	M	Lowed price and quality to attend client's price demands	The equipment bought was poor quality one and broke in the middle of operation, causing a 6 month delay in the entire project, once the task was critical and the losses were big	There was no solution for this case. Broken trust and overall failure	Furnace broke, trust has broken apart	Loss, buying other furnace to save reputation
	Engineer	MSSITHE008	F	Presented extremely high service prices on Expocachaça	Livia told me how a lack of understanding 20 major client's concerns cost her a lot. She presented a product and had access due to good relationship, trust and after telling the price all trust was washed away.	There was no solution for this case. Broken trust and overall failure	Trust broken, lost all prospects at once	Never did any business in her entire state.
	Engineer	MSSITHE009	F	Received contract poorly designed inexecutable	a contract poorly designed, full of major flaws could destroy the cooperative environment within her department.	There was no solution for this case. Broken trust and overall failure	Trust broken among all departments	Re-work and overall losses. New contract substitute the old. Broken trust.
	Saleswoman	MSSITHE015	F	Did not pay due attention to clients' needs	prospect negotiation did not take off because lack of persistence on her side and lack of good prices to offer the client.	There was no solution for this case. Broken trust and overall failure	Set the price too high - client did not close the deal	Big operation lost. Re-work, broken trust

Legend: T= Top Level Management   H= High-Level Management   I= Intermediary Level Management   L= Low-Level Management   M=male   F=Female

4.4.3.6- Cluster Analysis and concept supportive matrices: the importance of Trust and Social Value Orientation in Brazilian Business Negotiations

Following Miles, Huberman & Saldaña (2014) the body of data were analyzed in the clusters, according to the previous sections, in search for the *In Vivo* codes (Saldaña, 2013) about the importance of Trust and Social Value Orientation in Brazilian Business Negotiations, in both positive as well as negative outcomes. The interviewee's opinions were collected and analyzed, as well as the statements regarding Trust and Social Value Orientation. However, any relevant behavior regarding job position or gender was found, in the cluster analysis. We used 113 (32.5 %) out of 347 (100 %) *In Vivo* codes collected on the first Cycle (see Section 4.3.3.2), as shown in Appendix J.

4.4.4- Causal chains analysis

The causal chains were analyzed, "a researcher-constructed linear display of events, actions, and/or stated that suggests a plausible sequence of causes and effects" (Miles, Huberman & Saldaña, 2014, p.235). Initially, we did not find any important behavior regarding gender differences nor job position. For this purpose, were analyzed: Compelled-Based Trust (Section 4.4.4.1); the causal chains on positive outcomes (Section 4.4.4.2); the causal chains on negative outcomes (Section 4.4.4.3); the causal chains of relations between trust and Social Value Orientation (Section 4.4.4.4), also the causal chains on making and testing predictions (Section 4.4.4.5), as follows:

4.4.4.1- Causal chains: the Compelled-Based Trust (TR-COBT)

Table 31 shows the Causal chain – the Compelled-Based Trust, following Miles, Huberman & Saldaña (2014), as follows:

Table 31

Causal chain – The Compelled-Based Trust

Compelled-Based Trust		
Greater force Compelling situation Mandatory circumstance No choices No alternatives Contract negotiation in which counterpart is totally unknown Counterpart is changed during negotiation no previous ingformation about new counterpart People in charge that you do not know New representative	➔ Compelled-Based Trust (TR-COBT) ➔	outcome may be positive or negative - uncertainty vote for confidence dealing only during negotiation time forced situation no choices, no alternatives Anxiety

Table 31 helped us to gain insights into causes and consequences regarding factors investigated. In this case, the Compelled-Based Trust was analyzed. The causes and consequences regarding each interview were searched, selected, and grouped in Table 31. Our analysis revealed that the interviewees described the causes for the Compelled-Based Trust: greater force, no alternatives, new situations regarding contracts, among others. They also described the consequences as anxiety, give a vote of confidence, high stakes, high risks, among others.

4.4.4.2- Causal chains: positive outcomes

Table 32 shows the causal chain - positive outcomes, following Miles, Huberman & Saldaña (2014), as follows:

Table 32

Causal chain – positive outcomes

Positive Outcomes		
Time constraint to finish project project blocker equipment malfunction Need for services, consultancies, project opportunities, good remuneration perspective, positive risks, new client's demands,Large events, business opportunities, entrepreneurship, ➔	Fulfilled promised, Fostered trust, understood other´s needs ➔	New bigger projects in the future New contracts in the future Built relationship New projects, building solid reputation Good relationship with Mayor Continued in IPMA presidency Strong relationship of trust. New consultancies Stronger relationship success, trust, friendship

Table 32 had the utility of providing us insights on causes and consequences regarding the negotiations' positive outcomes (causal chain). The causes and consequences of the interviews described were searched, selected, and grouped in Table 32. Our analysis revealed that the interviewees perceived fulfilled promises and fostered trust, for instance, as causes for positive outcomes, which consequences we described as a future relationship, new projects, businesses, for example.

We also analyzed Table 32 and found patterns, regarding time orientation and the type of consequences in fostering trust. Then, we reorganized the data in the following Table 33, as follows:

Table 33

Fostering trust: consequences in time

Fostering Trust Consequences	Time orientation	
	Short term	Long term
Affecting Substance	Deal	Bigger projects in the future
	Industry dinamization	New contracts
	Contract accomplished	Solid business reputation
	Project accomplished	Reliability
Affecting Relationship	Feeling satisfied	No future relationship
	Agreements	Friendship
	Increase of respect	Mutual assistance
	Stronger communication channel	Solid personal reputation
	Increasing Trust	Higher levels of Trust

Table 33 is a reorganization of Table 32, relating causes and consequences of fostering trust to time orientation, affecting both substance and relationship.

4.4.4.3- Causal chains: negative outcomes

Table 34 shows the causal chain - negative outcomes (Miles, Huberman & Saldaña, 2014), as follows:

Table 34

Causal chain – negative outcomes

Negative Outcome		
Absurd demands unattention to details too much competition, suspicious behavior, struggle for power, partner left out of project, private interests, disregard for public interests, price divergencies, broken partnership, lack of leadership, deliver poor quality goods or services, do not pay attention to non workable contract Person did not fulfill what promised, lies	➔ Broken Trust ➔	Loss of respect Loss of trust interpersonal conflict contract rupture Court of Justice Never deal again Distrust Industry paralisation broken communication channel, broken partnership friendship rupture no future business short-term orientation disagreements failure, rupture, conflict

Table 34 helped us to gain insights into causes and consequences (causal chain)
regarding the negotiations' negative outcomes. The causes and consequences of the
interviews described were searched, selected, and grouped in Table 34. Our analysis revealed
that the interviewees perceived broken trust, for instance, as a cause for negative outcomes,
which consequences we described as distrust disagreements, loss of respect and trust, for
example.

Table 34 was also analyzed and found patterns, regarding time orientation and type of
consequence. Then, the data was reorganized in the following Table 35:

Table 35

Broken trust: the consequences in time

Broken Trust Consequences	Time orientation	
	Short term	Long term
Affecting Substance	No deal	No future business
	Industry paralisation	Never deal again
	Contract rupture	Bad business reputation
	Court of Justice	
	Broken business partnership	
Affecting Relationship	Feeling deceived	No future relationship
	Disagreements	No friendship
	Loss of respect	Hostility
	Broken communication channel	Interpersonal conflict
	Distrust	Bad personal reputation

Table 35 is a reorganization of Table 34, relating causes and consequences from the broken trust to time orientation, affecting both the substance and the relationship. Our analysis indicated that the interviewees perceived consequences of breaking trust affecting both relationship and substance of the negotiation.

4.4.4.4- Causal chains: relations between factors Trust x Social Value Orientation

The impacts of the two factors were investigated, Trust, and Social Value Orientation on each other, following Miles, Huberman & Saldaña (2014, pp. 287-288), comparing them in time and by occurrence frequency. A relationship between Social Value Orientation and Trust was found, as Table 36 depicts, as follows:

Table 36

Relations between factors trust and SVO

	Positive Outcomes							
	SVO-PSELF ↓				SVO-PSOCIAL ↑			
	Before	During	After	total	Before	During	After	total
TRUST ↑	12	3	zero	15	16	19	20	55
Intensity	++	+	0		++	+++	++++	
	Negative Outcomes							
	SVO-PSELF ↑				SVO-PSOCIAL ↓			
	Before	During	After	total	Before	During	After	total
TRUST ↓	13	18	21	52	5	3	zero	8
Intensity	++	+++	++++		++	+	0	

Table 36 shows the associations between trust and Social Value Orientation when compared throughout time (Miles, Huberman & Saldaña, 2014, p.288).

Our findings regard: (a) the positive outcomes: inverse association between Trust and SVO-PSELF (while Trust increases, SVO-PSELF decreases), and direct association between trust and SVO P-SOCIAL (while Trust increases, SVO-PSOCIAL increases).

(b) negative outcomes: inverse association between Trust and SVO-PSELF (while Trust decreases, SVO-PSELF increases), and direct association between trust and SVO P-SOCIAL (while Trust decreases, SVO-PSOCIAL decreases). These findings here analyzed will be discussed and interpreted in chapter five.

Our analysis revealed that the interviewees perceived trust inversely related to SVO-proself and directly related to SVO-prosocial. Regarding SVO-proself (competition), while Trust increased, SVO-proself decreased, in the perception of the interviewees. Regarding SVO-prosocial, while trust increased, SVO-prosocial also increased. This finding

corroborates early studies that associate Trust with the cooperation or SVO-prosocial (Balliet and Van Lange, 2013).

Table 36 helped us to gain insights and perspective on the relationship between trust and Social Value Orientation throughout time, following Miles, Huberman, & Saldaña, (2014). Figure 17 shows the relationship between the factors TRUST, SVO-proself, and SVO-prosocial in the network display, as depicted in the following Figure 17:
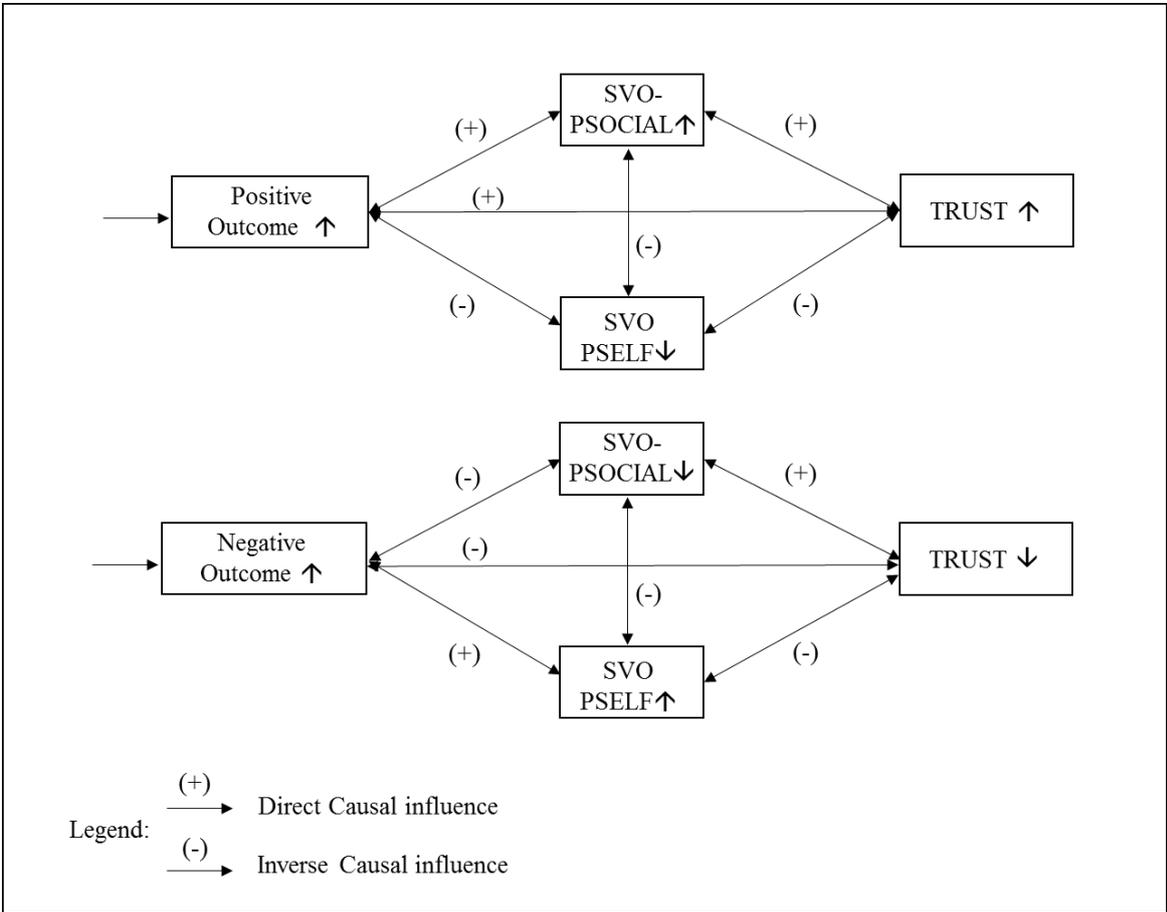
Figure 17. Relationship between factors regarding positive and negative outcomes

Regarding the positive outcomes, our analysis revealed that SVO-proself is inversely related to SVO-prosocial, in other words, competition and cooperation are indirectly related (Balliet and Van Lange, 2013). Positive outcomes are directly associated with SVO-prosocial and trust is indirectly associated with SVO-proself. The interviewees perceived that trust and SVO-prosocial were directly associated with success in negotiations.

Regarding the negative outcomes, our analysis revealed that SVO-proself is inversely related to SVO-prosocial, in other words, like with positive outcomes, competition and cooperation are indirectly related (Balliet and Van Lange, 2013). Our analysis also revealed that negative outcomes are directly associated to SVO-proself, and indirectly related to SVO-prosocial and trust. One possible explanation is that the interviewees may have perceived broken trust and competition as associated with failure, in this sense.

In both cases, our findings revealed that SVO-prosocial is directly associated with trust, and SVO-proself is indirectly related to trust. Therefore, according to the perception of the interviewees, cooperation fosters trust and vice-versa, as well as competition surrogates distrust and vice-versa.

4.4.4.5- Causal chains: making and testing predictions

After the causal chains have been analyzed, two predictions were tested (P1 and P2, as follows) with selected the interviewees. Predictions are "inferences that a researcher makes the probable evolution of case events" (Miles, Huberman & Saldaña, 2014, p.256).

The predictions in were gathered two forms (see the Appendices O and P). We followed Miles Huberman and Saldaña (2014) in selecting: (a) reliable interviewees, (b) who demonstrated enough knowledge about their positions and (c) who occupied different roles

within their organizations (p. 260). The prediction forms were submitted to the 20

interviewees by e-mail, with a response rate of 10 % (two forms fulfilled and signed, sent

back by email).

The interviewees answered two predictions: P1 (see Table 37) and P2 (see Table 38)

with supportive and/or contradictory factors for each prediction. The data were collected, as

shown in Tables 37 and 38 respectively. Predictions 1 and 2 are concept-oriented, and will be

discussed and interpreted in chapter five.

Table 37 *Prediction P1: fill-out response form from case informant*

Supportive Prediction factors	Pertinence	Brief explanation
Business results (e.g. sales target)	3	High stakes involved may require doing business with strangers and be compelled to trust even not knowing the counterpart
Duty/business assignments by superiors	3	A superior mandate to negotiate compells one part to negotiate with other, without any previous information on the other side of the table.
Curiosity (test confidence)	2	Negotiator engage in a low-risks negotiation to enhance their learning curve, even not knowing the other party
Attitude of reflection	3	Sometimes, silence can be interpreted as indifference or suspiciousness
Refusal to talk	3	Distrust may disrupt communication channel
Expression of mistrust	3	Distrust may be expressed by closed non verbal language displays
Fellings of anger	3	anger and deception drive to more external signs of disruption
Barriers to debate	3	Debate avoidance is related to broken trust, in the sense of conflict avoidance
Contradictory Prediction factors	Pertinence	Brief explanation
Prejudice	2	Prejudice may affect a future negotiation based on past experiences, even if a negotiator has never negotiated with the counterpart
Trauma (from similar previous negotiations)	2	Trauma may affect a future negotiation based on past experiences, even if a negotiator has never negotiated with the counterpart

Legend: pertinence rating: 1= not pertinent; 2= pertinent, but not important; 3 = important factor causing the situation

Prediction 1 (P1): If a negotiator is the Compelled by circumstantial forces to negotiate with the counterpart in Brazilian Business negotiations, then the negotiator will trust the counterpart somehow.

Explanation (P1): There are compelling circumstances or forces in which a negotiator (trustor) is the Compelled to trust a counterpart (trustee), even whether the trustor has no previous information on the trustee's reputation, and has never negotiated with the counterpart, at least until the situation persists. Examples of these compelling circumstances are: (a) high stakes involved in a negotiation; (b) legal and normative issues and obligations; (c) business contract obligations; (d) no alternatives to a negotiated agreement (BATNA).

Table 38 *Prediction P2: fill-out response form from case informant*

Supportive Prediction factors	Pertinence	Brief explanation
Behavior (if one behaves like a liar, then nobody will like you).	3	Bad reputation follows negotiators wherever they go.
Reputation (a businessman reputation is gold and should be preserved at all costs)	3	A good reputation is one of the responsibles for trust in advance
High ranked counterparts	3	Dealing with a company president, even with no previous information about the person, may compel negotiators to trust the counterpart.
Excellent Institutional relationship	3	The psychological contract (Rousseau, 1998) plays na important role in the compelled based trust.
Prosperity	2	Prosperity may invite people to trust each other due to low risks involved.
Demanding market	3	A demanding market may compel negotiators to mutual trust due to positive risks. I may be confused with Calculus based trust. The difference is that in compelled based trust parties do not have previous information on each other.
Good previous preparation	3	One may be prepared for doing business, although does not have previous information about the counterpart and, nevertheless, be compelled to negotiate.
Contradictory Prediction factors	Pertinence	Brief explanation
Apologies (error recognition may in fact enforce future relationship in certain circumstances)	3	Apologies and forgiveness are the cornerstones to trust repair.
Business at stake (even with distrust, if the business at stake is so high, negotiations may proceed	2	It largely depends on each person's values and beliefs and may be different from person to person.
Blame someone else (to protect your own image or reputation by blaming someone or something else)	1	Blaming someone else, in fact, is supportive of prediction, because, will drive a negotiation in the long rum to a negative outcome, even if in short a term there is some kind of deal.

Legend: pertinence rating: 1= not pertinent; 2= pertinent, but not important; 3 = important factor causing the situation

Prediction 2 (P2): If trust is broken in Brazilian business negotiations, then the

substance and the relationship will be affected negatively in short and long terms.

Explanation: if trust is broken, then the negotiation may become difficult to deal with

or even fail. There may be consequences shortly, such as no deal, and no future business in

the long run. Distrust will increase, and relationship and reputation may end up in rupture and

destruction. Trust repair is necessary through forgiveness. For instance, according to Duzert (2015), "the man who has wisdom and self-control does not retaliate" (chapter V, Section2, paragraph 1).

4.4.5- Reliability and Validity Analysis

The quality of our work was assessed through a reliability analysis (Section 4.4.5.1) and a validity analysis (Section 4.4.5.2). The recommendations on reliability and validity analysis followed Miles Huberman and Saldaña, 2014; Saldaña, 2013; Schreier, 2012, and Silverman, 2011.

4.4.5.1- Reliability analysis

Reliability is the criterion that evaluates the quality of measurement of qualitative research. A research is said *reliable* when the measurements are consistent, stable, and the research may be replicated. Among research strategies to assess the reliability of our coding frame, we followed the second of these two: (a) the comparisons across persons, and (b) the comparisons across points in time (Schreier, 2012, p.166-167). A reliability study was conducted only across time because there was only one researcher coding the raw data.

For this purpose, a *Coefficient of Agreement*[5] was calculated (Schreier, 2012, p.170) at two points in time: the first one before analysis (October 9th, 2015) and the second one after analysis (November 3rd, 2015), approximately one month between these events.

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[5] Percentage of agreements = (number of units of coding on which the code agrees /total number of units of codes) * 100

According to the Section 4.3.3, a total of 3,058 codes were used (100 %). In the first cycle code, 1,075 codes were used (35 %); in the second cycle 1,808 codes were used (58 %); in the third cycle 245 open codes were used (7 %).

Before the content analysis (trial coding), 96.3 % of the coefficient of agreement was found. The low consistency observed provided us the opportunity to "pinpoint flaws in the coding frame" (Schreier, 2012, p.169). Then it was performed a Content Analysis to fulfill the 20 outliers (missing blocks) through outlier analysis and progressive summary (Section 4.4.1.3). A full revision of the entire coding process was also performed and made some improvements shown in Table 24. After the content analysis (main coding), were found 99.7 % of the coefficient of agreement. The 20 blocks of residual raw data were re-categorized with a code created according to the research gap in the literature (see Section 4.4.1.4). The coefficients of agreement *before* and *after* analysis are shown in Table 39, as follows:

Table 39

Coefficients of Agreement

Codes		Trial coding		Main coding	
Type	Total	Total	CA (%)	Total	CA (%)
Holistic	40	38	95	40	100
Attribute	40	39	98	40	100
Structural	163	152	93	163	100
Process	415	402	97	410	99
In Vivo	347	345	99	347	100
Eclectic	904	851	94	902	100
Pattern	904	882	98	902	100
SVO	120	120	100	120	100
TRUST	125	105	84	125	100
Total	3058	2934	95,9	3049	99,7

Our analysis revealed that Trust (TR) could not be totally categorized in the first coding attempt, because there was a gap in the literature and, therefore, a new analysis was conducted until a new open code was created and tested, regarding the raw data. The code Compelled-Based Trust (TR-COBT), was used to code the remaining blocks successfully.

4.4.5.2- Validity Analysis

Validity is the accuracy of a measurement device. If the instrument captures what it was designed to capture, therefore, it is a valid one (Krippendorf, 2004; Schreier, 2012).

Regarding our coding frame, it is considered "to the extent that your codes adequately represent the concepts in your research question" (Schreier, 2012, p.175).

According to Schreier, 2012; Krakauer, 1952, Neuendorf, 2002; Saldaña, 2013; Miles, Huberman & Saldaña, 2014, there are four types of validity in the qualitative research literature: a) *face validity*, in which instruments seem adequate to measure what they were designed to measure (Neuendorf, 2002), which, according to Schreier (2012), "gives the impression of measuring what it is supposed to measure" (p.185). (b) *Content validity*, which "is assumed to be present to the extent that an instrument covers all the dimensions of a concept" (Schreier, 2012,p.185); (c) *criterion validity*, which relates to the concept applied to an indicator (criterion) applied to an instrument (Schreier, 2012) and (d) *construct validity*, which refers to "the relationship between the concept of study and other concepts" (p. 185). Face validity is paramount to the present work. First, face validity was assessed through the frequency distribution of the codes and sub-codes, as shown in Table 40, as follows:

Table 40

The codes and sub-codes' frequency distribution

Category	Subcategory	Frequency distribution	
		Total	**%**
TRUST (TR)	TR-COBT (*)	20	16,0%
	TR-DTR	41	32,8%
	TR-DTBT	6	4,8%
	TR-CABT	21	16,8%
	TR-KNBT	28	22,4%
	TR-IDBT	9	7,2%
Total	6	125	100,0%
SVO (SVO)	SVO-PSELF	63	52,5%
	SVO-PSOCIAL	57	47,5%
Total	2	120	100,0%
TOTAL	**8**	**245**	**100%**

(*) residual subcategory. TR-COBT was created to fulfill the research gap in the literature review

Before the analysis start, the residual codes held 16 % of the frequency distribution. Then, the coding process was reviewed, because "by definition, if the codes of your coding frame do not cover the meaning of your material, your frame has low face validity" (Schreier, 2012, p.186).

The analysis of the research gap and the progressive summary combined (see Section 4.4.1.1) gave birth to the creation of a new sub-code of trust, called The Compelled-Based Trust or TR-COBT (see Section 4.4.1.2), which covered all the residual codes (see Table 40).

The next step taken was to analyze the frequency distribution of all the codes and sub-codes, because, according to Schreier (2012): "high coding frequencies for one sub-code compared with the other available sub-codes can, therefore, act as yet another indicator of

low face validity" (p.187). The frequency distribution of trust and Social Value Orientation is shown in Figure 18, as follows:
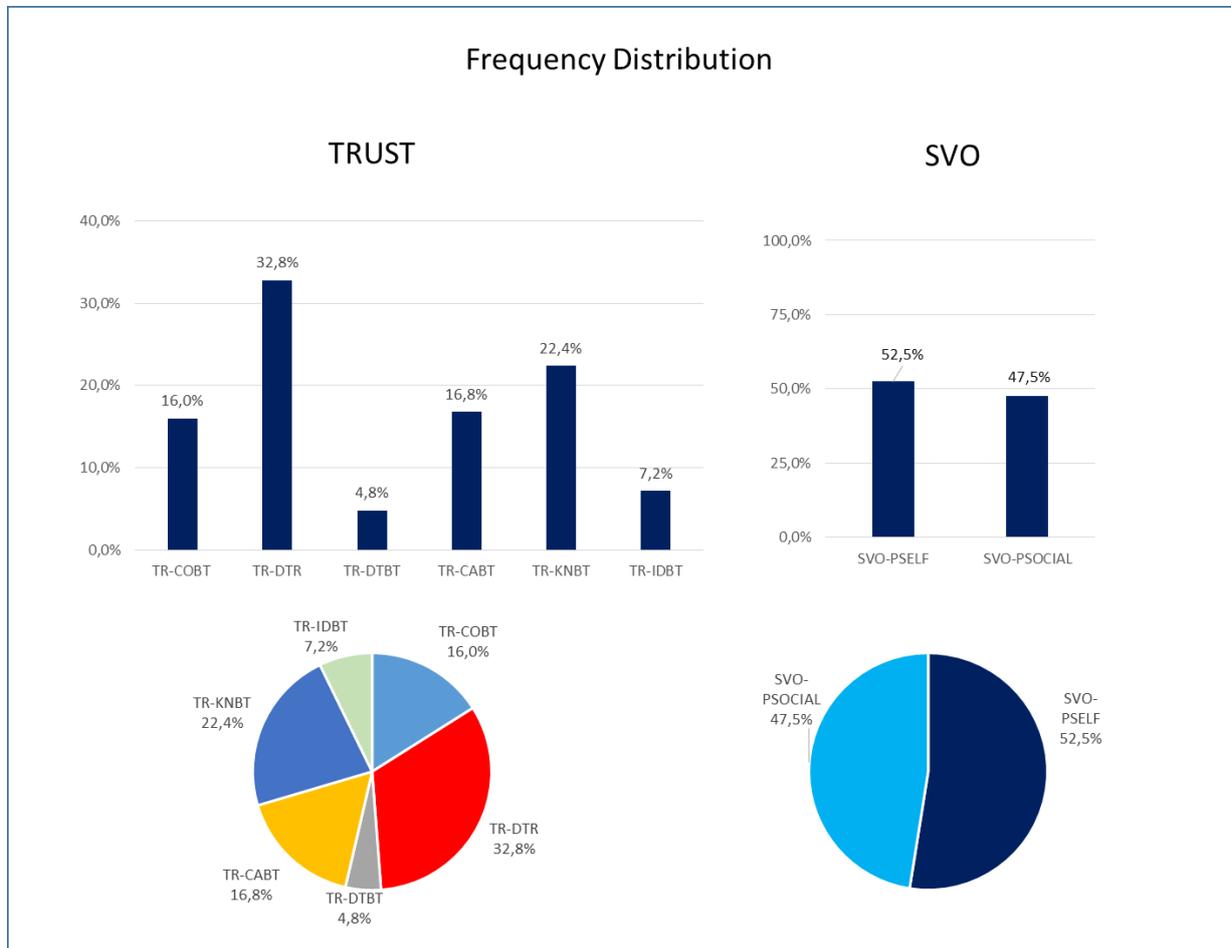
*Figure 18. T*he codes and subcategories' frequency distribution, regarding Trust and SVO.

The highest frequency on Social Value Orientation and the trust are depicted in Fig 18, as follows: (a) SVO-proself (competition), with 52.5 % of the codes, and (b) TR-DTR (distrust), with 32.8 % of the trust codes. According to Schreier (2012), high frequencies concentrated in one code could be an indicative of coding misrepresentation (another code could be concealed under a given code). The next step was to analyze the two highest frequencies, to find explanations for their occurrence and whether necessary, to create new sub-codes through splitting the codes.

Our analysis of SVO frequency distribution revealed a difference between SVO-proself and SVO-prosocial smaller than 5 % (see Figure 18). One possible explanation relates to the interviewees have perceived competition equally as important as cooperation throughout the negotiation process.

All the distrust incidences between the negative and the positive outcomes were analyzed and were found 85.4 % of distrust (TR-DTR) sub-codes addressed to the negative outcomes (from which 75 % were found after the negotiation), and 14.6 % to the positive outcomes.

Our analysis of trust frequency distribution revealed that the interviewees may have perceived distrust as the failure result in the negotiations. Another possible explanation relates to the interviewees' perceptions regarding broken trust as a cause for the negative outcomes, consequently leading to distrust at the end of the negotiation process.

Finally, following Schreier (2012), our analysis revealed that face validity was improved through the adoption of the new sub-code, The Compelled-Based Trust (TR-COBT), which assigned all the 20 residual codes, and by examining the frequency distribution of codes and sub-codes, as described above.

4.4.5.3- Context Analysis and the Business Negotiation Conceptual framework adjusted

In chapter four, we presented our findings and analysis of the importance of Trust and Social Value Orientation in Business Brazilian Negotiations. Then, following Miles, Huberman & Saldaña (2014), the context of the 20 interviews was analyzed throughout time. Regarding Social Value Orientation, *prosocial* means the cooperative factor, while proself

means the competitive factors of the negotiation. Regarding Trust, Figure 19 shows the six

stages of Transformative or Evolutionary Trust: (a) TR-DTR or distrust. (b) TR-COBT, or the

Compelled-Based Trust; (c) TR-DTBT or the deterrence-Based Trust. (d) TR-CABT, or the

Calculus-Based Trust; (e) TR-KNBT, or the Knowledge-Based Trust. Finally, (f) TR-IDBT,

or the Identification-Based Trust.

Later, a systematic review of the literature was conducted. Our study supported

previous findings on Social Value Orientation and provided an updated review of

transformational Trust, to be discussed in the following chapter five.

Finally, all the of our findings were synthesized and analysis conducted shown in

chapter four, to update the initial Business Negotiation Conceptual framework, as depicted in

Figure 19, as follows:
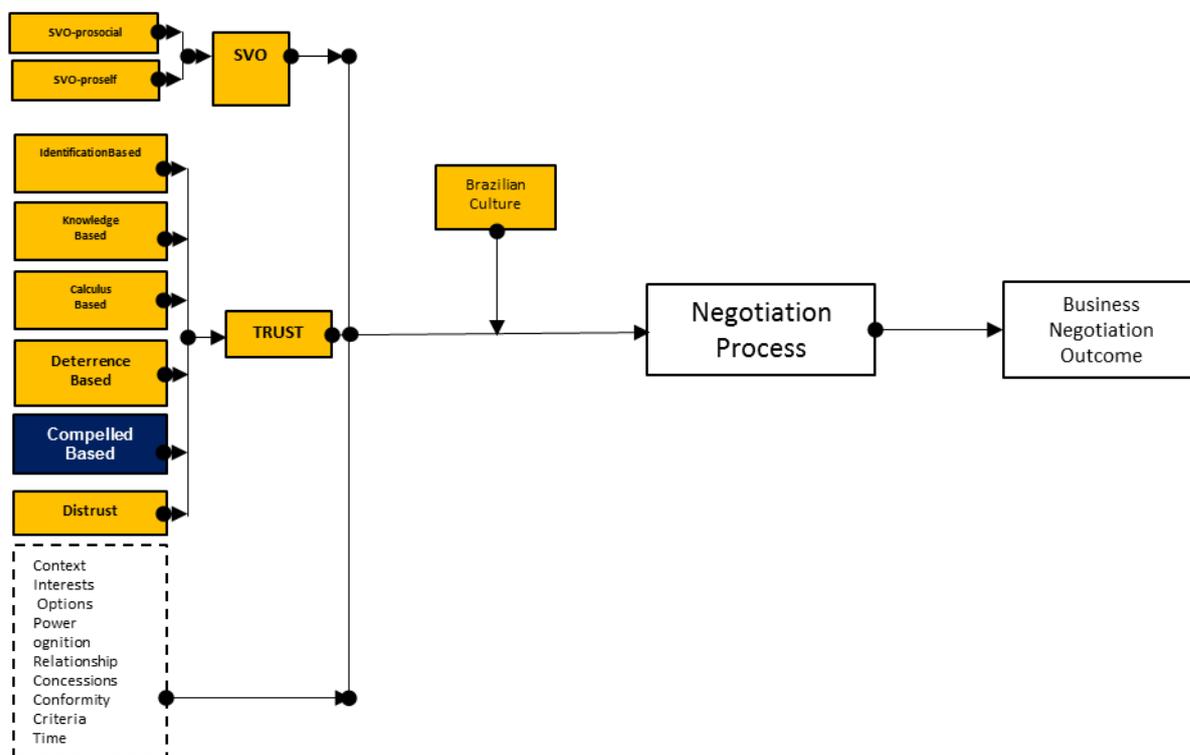
Figure 19. The Business Negotiation Conceptual Framework revised

The Business Negotiation Conceptual Framework is shown in Figure 8, displaying the ten elements in the Complex Negotiation Matrix, the Brazilian culture, the negotiation process, the negotiation evaluation, and business outcomes, and the codes Trust and Social Value Orientation.

Our analysis resulted in the Business Negotiation Conceptual Framework revised (see Figure 19), which added the following sub-codes: (a) SVO-proself and SVO-prosocial. Regarding trust: (b) Distrust, Deterrence, Calculus, Compelled, Knowledge, and Identification-based Trust. Our analysis revealed the factor Compelled-Based Trust as the main contribution to the field of research on Transformative or Evolutionary Trust. The interviewees perceived situations that greater circumstantial forces may compel the parties to trust each other, with greater risk, even having no information on the trustees. One possible interpretation is that the Brazilians may perceive the necessity to negotiate with the counterpart accepting the risk regarding the lack of information on trustees.

Finally, our analysis also indicated direct relations between the trust, SVO-prosocial, and the positive outcomes, as well as direct relations between distrust, SVO-proself, and the negative outcomes. One possible explication is that the interviewees may associate fostering trust to success and breaking trust to the failure and the distrust, affecting both the substance and the relationship.

4.4.5.4- Triangulating data

As discussed in chapter three (see Section 3.9), regarding the data triangulation, Denzin (2001), Miles, Huberman & Saldaña (2014) were followed. (a) Different *data sources* were used, which means that professionals were interviewed in various places, and with

distinct job positions within their organizations, to avoid the elite bias (Miles, Huberman &

Saldaña, 2014). (b) Different *methods* for data analysis were employed, such as the qualitative

content analysis (Section 4.4.1). The ethnographic data analysis (Section 4.4.2); cluster

analysis (Section 4.4.3). The causal chains analysis (Section 4.4.4.). The reliability and

validity analysis (Section 4.4.5); (c) *multiple researchers* were not used, especially regarding

coding data because the overall coding process was conducted by a single investigator.

Therefore, the findings that emerged from coding relied only on the perceptions and

impressions of one single analyst. (d) The *theory* found, after comparing the literature review

with raw data, discrepancies, and the literature gap. Finally, (e) *data type*, in which analytic

memos were written, as well as field notes, research diary, audio collecting data, and video

collecting data. The triangulated data were useful because they provided a solid basis for

discussion and interpretation in the next chapter five.

4.5- Summary

In this chapter, we presented findings and further analysis regarding 20 units of

analysis, the qualitative Behavioral Event Interview. The findings were displayed to identify

further, describe and explore what factors were important in Brazilian business negotiations,

especially the importance of Trust and Social Value Orientation. Existing gaps were found in

the literature review regarding Trust. However, no existing deficiencies were found in the

literature review regarding Social Value Orientation. Then, data were analyzed and

triangulated. Last the Business Negotiation Conceptual Framework was updated and prepared

to be discussed in the next chapter.

FIFTH CHAPTER

5. Discussion and Recommendations

5.1- Introduction

In chapter five, our findings are discussed and interpreted. The significance of this research in the current context of the Brazilian culture is examined. The following discussion is limited to the Business Negotiations, regarding the Brazilian reality. Therefore, applied to other situations, these conclusions may yield incorrect assumptions, and are guidelines for future researchers. Nevertheless, the predictions generated are relevant to the process of dwelling evolution in the business negotiations. Lessons learned conclude this chapter.

This chapter is divided into the following sections: summary of research (Section 5.2). The conceptual framework evolution (Section 5.3). Discussion and interpretation of findings (Section 5.4). Then, the significance of the study (Section 5.5), and the limitations of the study (Section 5.6). We finalize this chapter with our recommendations (Section 5.7), and chapter summary (Section 5.8).

5.2- Summary of Research

This Section provides the research timeline (Section 5.2.1); a summary of the literature review (Section 5.2.2), and a summary of the methodology (Section 5.2.3), as follows:

5.2.2- Summary of the Literature Review

This Section synthesizes the literature review briefly. We restate the purpose of the study, the research questions, and described the main factors investigated. First, Elfenbein's (2013) recommendations were followed, and the dispositional factors were investigated regarding the negotiations process in a qualitative format: "one can hope that future literature reviews will make qualitatively different concluding statements" (p.41).

Then, Trust and Social Value Orientation were investigated in a combination with the Brazilian business culture.

Next, our research questions are restated: (a) what are the most important factors of success in a business negotiation in the Brazilian culture? (Section 2.6.1); (b) what is the importance of trust in successful negotiations in the Brazilian culture? (Section 2.6.1.1); and (c) what is the importance of Social Value Orientation in successful negotiations in the Brazilian culture? (Section 2.6.1.2).

The literature review was conducted on Trust. Initially, Trust was studied regarding the Negotiations perspective. Trust among nations, companies, Institutions, markets, among others are not investigated in this study. Trust and Social Value Orientation were defined.

Then, trustors were defined and differentiated from trustees. According to Malhotra (2004), trustors are trust givers while trustees are trust receivers. Both have different goals. "Trustors focus primarily on the risks of being trusted (e.g., how vulnerable they are), while those being trusted focus on the benefits to be received from the trust" (Lewicki & Hanke, 2012, p.215).

Next, the approaches to the three main streams in the Psychology regarding Trust and Negotiations were identified. First, trust is unidimensional, and distrust is the opposite of trust (Mayer, Davis & Schoorman,1995; McAllister, 1998). Second, trust is two-dimensional, that

trust and distrust are different constructs (Lewicki, McAllister & Bies, 1998). Last, trust

evolves or is transformative throughout time (Lewicki & Bunker, 1995, 1996; Shapiro,

Sheppard & Cheraskin, 1992). Our findings and analysis refer to the Transformative or

Evolutionary Trust (described in Section 2.5.8).

Literature review also pointed four stages of Transformative or Evolutionary Trust: (a)

Deterrence-based trust, based roughly on fear or dissuasion of non-compliance consequences;

(b) *Calculus-based trust*, based on risk acceptance, or the positive expectations of future

rewards for compliance (Lewicki & Bunker, 1995, 1996); (c) *Knowledge-based trust*, a higher

form of trust, that the parties are capable of predicting their outcomes based on past

experiences (Shapiro, Sheppard & Cheraskin, 1992; Lewicki & Bunker, 1995; 1996); and (d)

Identification-based trust, in which the parties may defend each other (Lewicki & Stevenson,

1998, p. 107). All the four types mentioned have one point in common: trustor has some

previous information about trustee's reputation.

Then, an extensive literature review was conducted on Social Value Orientation,

which is rooted in Dual Concern Model that later inspired Social Value Orientation studies.

Rational Choice Theory inspired both methods (Murphy, Ackermann & Handgraaf, 2011), in

which individuals manifested their choices based on the maximization of their utility

functions (p.771).

These variations were termed as: *proself* and *prosocial* (Messick & McClintock, 1968;

Griesinger & Livingston, 1973; Liebrand & McClintock, 1988; Van Lange, Otten, De Bruin

& Joireman, 1997; De Dreu, Weingart & Kwon, 2000; De Dreu, Beersma, Stroebe, &

Euwema, 2006; Murphy, Ackermann & Handgraaf, 2011).

Finally, according to our research questions, the following perspectives on fields of research were investigated: Psychology (Section 2.2); Psychometry (Section 2.3), Game Theory (Section 2.4), and Negotiation (Section 2.5). The next section describes the summary of the Methodology.

5.2.3- Summary of the Methodology

This research is inductive, qualitative, interpretive, naturalistic, situational, reflexive, with emergent flexibility, case-oriented, cross-sectional study, which was conducted with emphasis on validity (Schreier, 2012, p.21). Our aim is to understand the Brazilian business negotiations, regarding Trust and Social Value Orientation. The Behavioral Event Interview was the method used to collect data from 20 experts (McLelland, 1973; Spencer & Spencer, 1993; Delorme, 2007). The naturalistic approach was also employed to collect primary data. The research context, including the local of interviews, timing, and languages, and interview preparation, were presented.

Initially, all the interviews were conducted in the interviewee's native language, i.e., Portuguese. However, five out of the 20 interviewees (25 %) felt more comfortable with speaking English, and this choice were considered.

Regarding the interview's preparation, all the 20 interviewees received, read, and signed two forms prior to the interview: (a) the interviewees ethnographic data form (see Appendix D), and (b) the interview invitation and information consent form both in English (see Appendix A) and Portuguese (see Appendix B).The interviews lasted on the average 50 minutes each.

Before collecting the primary data, all the interviewees were invited personally and then by e-mail written both in the English and Portuguese. The e-mails contained basic information about the research scope. Before the interviews started, the declarations of scientific purposes and non-commercial use were read. The information disclosure policy was read, and the ethnographic data were collected from each interviewee (see Appendix D).

Then, the interview protocol available in Appendix C was followed with the preliminary questions being made. The semi-structured interviews were conducted and the data recorded.

Next, the primary data was collected through audio and/or video recording, depending on the previous agreement with the interviewees. The data collected were digitally stored and made available for future consultation.

Regarding sampling strategies, a purposive sampling was adopted, following Miles, Huberman & Saldaña (2014). The criterion sampling, the convenience sampling, and the snowballing sampling were also used because they are suitable for our research questions. The interviewees were also chosen following Miles, Huberman & Saldaña (2014). The interviewees should, at least: (a) to be reliable sources of information; (b) to be experts in their businesses, and (c) occupy diverse positions in the hierarchy of their respective organizations to provide "somewhat differing perspectives" (Miles, Huberman & Saldaña, 2014, p.260).

Next, following Saldaña (2013), primary data was coded in three cycles. Regarding the third cycle coding, open codes were created and applied to the raw data. Residual codes were found on Trust.

Finally, a research gap investigation was conducted, and a new sub-code was created to re-code all residual data on Trust. Last, our findings and analysis were presented in chapter four.

5.3- The Conceptual Framework evolution

This Section presents the evolution of the conceptual framework throughout this study. First, the research questions will be analyzed (Section 5.3.1); then, the initial conceptual framework (Section 5.3.2), and finally, the revised conceptual framework is presented (Section 5.3.3), with the objective to explain in detail the evolution of the Brazilian Business Conceptual framework.

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5.3.1- The research questions and the conceptual framework

In section 2.6.1, our main research question, as follows was outlined: *What are the most important factors of success in Brazilian business negotiations?*

The investigation started with the main success factors in Brazilian business negotiations. Two factors called our attention because there was a lot of past research regarding these two factors: Trust and Social Value Orientation (Van Lange, 2015; Edelman, 2015; Olekalns & Adair, 2013, Gunia et al., 2014; Balliet & Van Lange, 2013; Evans & Revelle, 2008; Lewicki, Tomlinson & Gillespie, 2006).

However, past qualitative studies involving these two factors, regarding the Brazilian context, were not investigated altogether in a single research, so far.

 For that purpose, we unfolded the research question in two: first, *what is the importance of trust in successful negotiations in* the Brazilian culture*?* (Section 2.6.1.1), and

second: *what is the importance of SVO in successful negotiations in* the Brazilian culture*?* (Section 2.6.1.2).

Then, an extensive literature review on the current theory was conducted, in search for a reliable model that could encompass our research questions. Duzert's (2015, 2007) Complex Negotiation Matrix was considered useful for this purpose, because it identified the ten elements of the negotiation process, without including Trust and Social Value Orientation (see Section 2.5.13), respectively: (a) Context, (b) Interests, (c) Options, (d) Power, (e) Cognition, (f) Relationship, (g) Concessions, (h) Conformity, (i) Criteria, and (j) Time (see also Figure 7).

Therefore, the ten elements were adopted as the inputs from our conceptual framework and added two more factors: Trust and Social Value Orientation (see the upper graphic in Figure 22).

Our research questions implicate studying a process in which success (or failure) occurs. Early studies pointed negotiation as a process (Salacuse, 2003). Another reason to study the negotiation process concerns the qualitative investigative method used. McLelland (1973, 1976), Spencer & Spencer (1993), Delorme (2007), were followed, and the Behavioral Event Interview approach was used to collect primary data, following a naturalistic approach. It is suitable for our objectives, once each interviewee was asked to describe one case of success and one case of failure. Therefore, the participants described per interview, two whole processes from the beginning to the end, in which findings could be analyzed, according to our research questions and purposes.

We designed the *initial* Business Negotiation Conceptual Framework (Section 5.3.2), and then the study was conducted and moved into the *revised* Business Negotiation

Conceptual Framework (Section 5.3.3). Figure 22 shows the initial and the revised conceptual framework. In the next Section, 5.3.2, the initial conceptual framework is discussed.

5.3.2- The initial conceptual framework

Initially, we found in the Complex Negotiation Matrix (Duzert, 2015, 2007), the necessary support to encompass our factors investigated, Trust and Social Value Orientation respectively, along with the ten elements of the Complex Negotiation Matrix, which served as an input to Business Negotiation Conceptual Framework.

The Brazilian culture was added to our conceptual framework because we investigate business negotiations regarding the Brazilian scenario. Early studies pointed culture as an important moderator factor in the negotiation process (Olekalns & Adair, 2013). Therefore, in our Business Negotiation Conceptual Framework, the Brazilian culture appears as a moderator factor (see Figure 22).

Finally, from left to right, the positive and the negative outcomes were added, to complete the initial Business Negotiation Conceptual Framework, as shown in Figure 22.
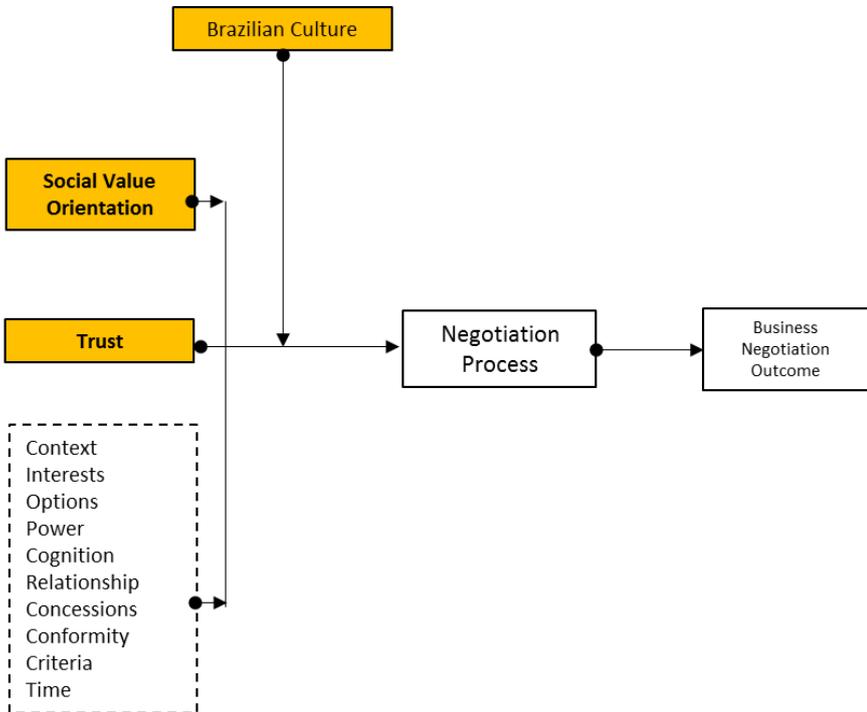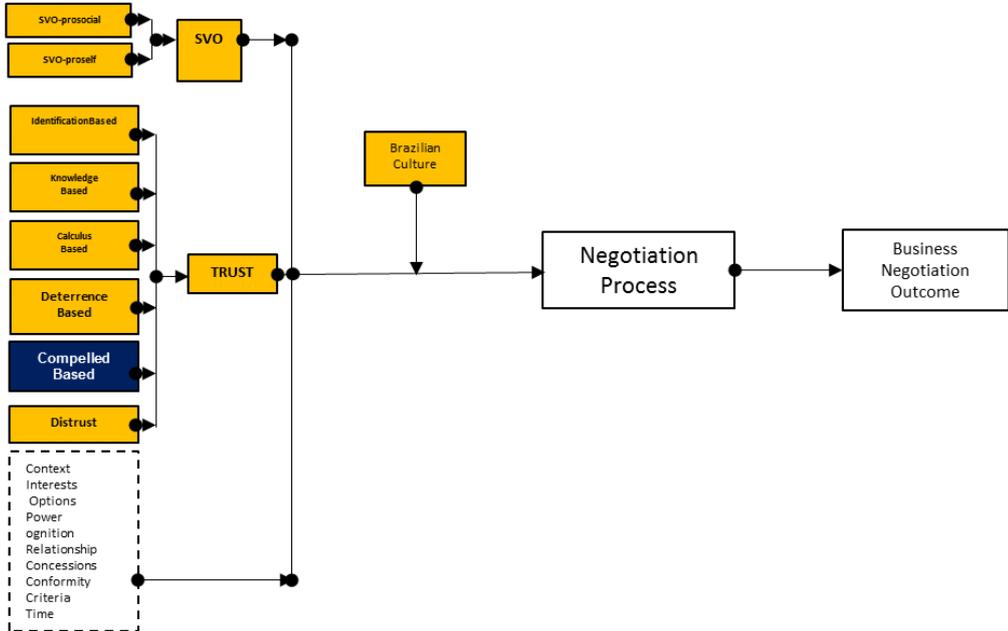
Figure 20. The Business Negotiation Conceptual Framework evolution. First upper graphic shows initial conceptual framework. Graphic below shows the revised one. The Compelled-Based Trust is our contribution to the field of research.

5.3.3- The revised conceptual framework

The next step included a revision of the Business Negotiation Conceptual Framework. An extensive literature review was conducted on Trust and Social Value Orientation and followed the transformation trust approach (Lewicki & Polin, 2013; Lewicki & Stevenson, 1998; Shapiro, Sheppard, & Cheraskin, 1992; Lewicki & Bunker, 1995). For further information, see Sections 2.5.8 and 4.2.1.

After the analysis conducted with the findings described in chapter four, the conceptual framework was updated, and the outcome is shown in Figure 20. The Business Negotiation Conceptual Framework Revised is a more comprehensive model. The ten elements of the Complex Negotiation Matrix were kept. SVO-proself and prosocial were added (from the left to the right in Figure 20). We kept the Brazilian culture as the moderator factor; we also kept the negotiation process and the outcomes evaluation and enhanced the outcomes with consequences on trust.

Deterrence-based trust, Calculus-based trust, Knowledge-based trust, Identification-based trust, and distrust were inserted in the revised Business Negotiation Conceptual Framework. The Business Negotiation Conceptual Framework was completed after the insertion of the Compelled-Based Trust, which represents our academic contribution to the field of research on Transformative or Evolutionary Trust regarding Brazilian business negotiations.

Initial and revised Business Negotiation Conceptual Frameworks are displayed in Figure 22, to show the improvements accomplished throughout this research. The next section presents the discussion and interpretation of findings.

5.4- Discussion and interpretation of findings

In this exploratory research, the logical sequence of the previous chapters was kept, to maintain intact the consistency and integrity of the data under investigation. Miles, Huberman & Saldaña (2014) were followed and this section started by discussing and interpreting the importance of the research questions.

The study on Themes is presented, as follows: Theme One: the importance of Trust in Brazilian Business Negotiations (Section 5.4.1). Theme Two: the importance of Social Value Orientation in Brazilian Business Negotiations (Section 5.4.2). Theme Three: Trust and Social Value Orientation in Brazilian Business Negotiations (Section 5.4.3). Theme Four: the importance of the Brazilian culture in Business Negotiations (Section 5.4.4). Theme Five: the Complex Negotiation Matrix and interpretation of findings (Section 5.4.5). Then, our findings were interpreted. Theme one was interpreted first, as follows:

5.4.1- Theme One: the importance of Trust in Brazilian Business Negotiations

Our findings and analysis indicated that Brazilian business negotiators perceived Trust somehow different from the findings reported in earlier studies. These former studies had a common ground: trustor has previous information on trustees: (a) fear of punishment, revenge, in the Deterrence-based trust; (b) a positive risk assessment, in the Calculus-based trust; (c) successful prior interactions in the Knowledge-based trust. Finally, (d) consistent interaction throughout time, in Identification-based trust (Olekalns & Adair, 2013b, Lewicki & Bunker, 1995, 1996; Shapiro, Sheppard & Cheraskin, 1992).

However, our analysis revealed that some of the 20 interviewees reported Trust in situations that trustors had no previous information on trustees. Trust in these cases, was described as motivated by compelling circumstantial forces, in which there was no previous information about the negotiation counterparts. "*I had to negotiate with Bahian state government officials, but I had no previous information about them*" (MSITHE001). Therefore, evidence was found regarding a new type of Transformative or Evolutionary Trust: the Compelled-Based Trust, discussed in chapter four.

There may be several reasons why the findings in this study contrast with findings in earlier studies. The interviewees in this study are Brazilian business negotiators, and Compelled-Based Trust may be relevant only to this culture. Possibly, these 20 interviewees had information available but did not explore it. Possibly, the negotiators did not assess the risk to engage in a negotiation.

The interviewees described Trust as an important factor in business negotiations regarding the Brazilian context: *"trust is essential"* (MSSITHE006); *"without trust, it is impossible to negotiate and to create a block, creating synergy to present. It is easy to give up if you do not have trust"* (MSSITHE017). *"I think we had to trust all over"* (MSSITHE019). *"Trust is paramount in the negotiations. If you do not trust, then your negotiations will fail"* (MSSITHE008). *"First, one has to prove reliable and trustable. Trust I think that is the main thing"* (MSSITHE002). These findings corroborate the previous studies that trust is reported as a significant factor in any negotiation. *"Trust is about reputation"* (MSSITHE017). *"The only way to make things right was to start it over and to negotiate with whom could be trusted"* (MSSITHE017).

The interviewees also perceived broken trust as interfering negatively on personal reputation *"He has a lot of potentials, and he is a good negotiator too, but only that he does*

not deliver a lot of what he's promising, now those other people I do not even want to know, because they were people who acted so I would say so, unethical with us. People in whom you cannot trust." (MSSITHE003). The interviewees also associated trust to success and to future business: *"we did a project with this particular client a few years earlier, and the project finished well. Then, the client hired us for a new project."* (MSSITHE007).

On the other hand, our findings and analysis indicated that Brazilian business negotiators have also corroborated findings reported in earlier studies. The broken trust was perceived as a cause of the failure in the negotiations that consequence was related to distrust, in 100 % of the negative outcomes. "*The key issue behind all difficulties was about trust*" (MSSITHE017). They also perceived the failure affecting both the substance and the relationship, in short and long terms. *"A breach of trust is not recoverable"* (MSSITHE020). The interviewees recognized deception, disagreements, loss of respect, and loss of friendship, hostility, and interpersonal conflict. *"I cannot trust a person that a person who has two faces. That is impossible"* (MSSITHE002). There may be several reasons why the findings of this study corroborate the findings in earlier studies. The broken trust may be interpreted in the Brazilian culture as loss of respect, a loss of friendship and a loss of reputation, supporting the findings in many other earlier studies, discussed in previous chapters.

5.4.2- Theme Two: the importance of Social Value Orientation in Brazilian Business Negotiations

Our findings and analysis indicated that Brazilian business negotiators Perceived Social Value Orientation as predicted in earlier studies (Murphy, Ackermann & Handgraaf, 2011; De Dreu, Weingart & Kwon, 2000; De Dreu et al., 2006; De Dreu & Van Lange, 1995;

Pruitt & Rubin, 1986; McClintock, 1968). Social Value Orientation can also adopt two forms: SVO-proself or SVO-prosocial (Pruitt & Rubin, 1986).

Regarding SVO-proself, our analysis indicated that the interviewees perceived SVO-proself, before, during, and especially after the negotiation, as the result of intense competition. Our findings showed that SVO-proself was also directly associated with broken trust and the failure cases described. Possibly, the interviewees perceived broken trust as a cause for the increasing SVO-proself. Another possibility is that broken trust may also be perceived as a cause for SVO-proself. One possible explanation is that the Brazilians may perceive SVO-proself as a cause for interpersonal conflict: *"Then it turned into an internal competition like I am right, and we will fight for it"* (MSSITHE009).

Regarding SVO-prosocial occurred the opposite. SVO-prosocial was perceived as a cause of success in the cases described. SVO-prosocial was found before, during, but especially after the negotiations regarding the 20 interviews. In other words, the interviewees perceived SVO-prosocial in the positive results more than in negative ones. The interviewees perceived SVO-prosocial factor as part of the relationship among team members when describing people's relationship within the organization: *"there is a cooperative, good relationship between the team members"* (MSSITHE012). The interviewees have also perceived SVO-prosocial as stimulus the cooperative behavior: *"if the Presidential ceremonial sees that you are collaborating they, then begin to relax a few things"* (MSSITHE007).

5.4.3- Theme Three: Trust and Social Value Orientation compared in Brazilian Business Negotiations

Our findings and analysis indicated that Brazilian business negotiators perceived Trust and Social Value Orientation as parts constituting the same bargaining process. They are also related to each other, according to our analysis of their perspectives. Trust and Social Value Orientation have been studied as two separate constructs in past researches (Lewicki & Polin, 2013). In this study, both factors were also compared regarding the Brazilian context. The interviewees perceived Trust as somehow associated to Social Value Orientation: *"We only cooperate with whom we trust…"* (MSSITHE008).

Regarding the positive outcomes, the interviewees sensed Trust and SVO-prosocial increasing while SVO-proself is decreasing throughout the negotiation, resulting in higher levels of trust, resulting in cooperation, for example: *"if there is a little trust involved among people, they will end up finding a solution to the problem"* (MSSITHE007).There may be reasons that explain such perceptions. One possible explanation is that the Brazilians may perceive trust as directly related to SVO-prosocial factor. For instance: *"I trust him. He is a good guy"* (MSSITHE012). In this context, 'good guy', or a supportive person, is related to SVO-prosocial factor. In the following quotation, trust is perceived as an SVO-prosocial factor: *"I will not be bargaining with you, you are my friend, I trust you"* (MSSITHE018). For instance: *"The Mayor himself addressed to us and said: - I did not listen to you at that time. However, you know; I know you are a trustworthy guy. Because now I know that if you attended my request, the project would be a disaster for us. He recognized"* (MSSITHE014). In this negotiation, SVO-prosocial factor increased, as well as trust.

Regarding the negative outcomes, SVO-proself was perceived as indirectly related to SVO-prosocial and Trust. The interviewees noticed trust and SVO-prosocial decreasing while

SVO-proself was increasing throughout the negotiation, resulting in higher levels of distrust. For instance, *"I would work hard to protect myself against my client"* (MSSITHE017).

Finally, the interviewees perceived trust as being indirectly related to SVO-proself as if they perceived mutual trust as intimately connected to SVO-prosocial and dissociated from SVO-proself. In this sense, evidence was found in interpreting SVO-proself increasing while trust is decreasing, regarding the negative outcomes.

5.4.4- Theme Four: the importance of the Brazilian culture in Business Negotiations

The Brazilian culture is the backdrop of the present research. Our findings and analysis indicated that the interviewees perceived Brazilian culture differently from findings reported in early studies, especially regarding the *Honor Cultures* (Nisbett & Cohen, 1996; Aslani et al., 2013).

Our findings were compared with Honor culture's description and found no trace of similarity between them. For instance, the interviewees did not engage in verbal or even physical aggressiveness when responding to insults, as described by Nisbett & Cohen (1996); Aslani et al. (2013).

For example, MSSITHE007 had a consultancy problem with an important client. They discussed bout the issues involved. However, there is no trace of physical or verbal aggressiveness in defending their points of view, as follows: *"the very interesting thing is that the conversation was very quiet, a very polite customer, did not lose emotional control at all. He turned to me and said what happened"* (MSSITHE007). Finally, they found a joint solution to the issues discussed and the problem was solved: *"Moreover, today we are good.*

This client had several other projects with us. We have contracts with his company for many

years to come." (MSSITHE007).

The absence of physical or verbal aggressiveness could be possibly explained by the

following: *"We have, negotiation approaches, here, at the "The consulting Company", we*

have a policy of always "Remain unconditionally constructive". So regardless if it is a matrix,

a fight if people lose their temper (OC: an expression that means losing emotional control),

has an agenda, always drive to the constructive side, however, much it hurts both financially,

as your ego, to have a constructive approach. That always helps in these times of crisis."

(MSSITHE007).

Therefore, no evidence was found supporting Honor Cultures descriptions' regarding

the Brazilian Culture, according to the perceptions of the 20 interviewees. One explanation is

that other factors than culture may influence physical or verbal aggressiveness. Another

explanation is that Honor cultures do not describe accurately the Brazilian Culture.

5.4.5- Theme Five: the Complex Negotiation Matrix and the interpretation of findings

Our findings and analysis indicated that the Complex Negotiation Matrix (Duzert,

2015, 2014, 2007) can partly explain the phenomenon of the negotiation (see Figure 7). The

Complex Negotiation Matrix does not describe (a) the correlation between its ten elements

(factors), which could determine the relationship between them; (b) the scales designed to

evaluate the negotiation process. For example, regarding the negotiation process, there is no

scale designed to measure one of the ten indicators, *Autopoiesis*, as defined by Maturana &

Varela (1980):

> A network of processes production (transformation and destruction) of components that produces the components which: (i) through their interactions and transformations continuously regenerate the network of processes (relations) that produced them; and (ii) constitute it (the machine) as a concrete unity in the space in which they (the components) exist by specifying the topological domain of its realization as a network (Maturana & Varela, 1980, p.79).

According to Duzert (2015, 2014, 2007), *autopoiesis,* reveals the symbiosis between human beings, their joint adaptation to a new reality, in other words, their co-evolution, co-adaptation.

Finally, the Complex Negotiation Matrix (Duzert, 2015, 2014, 2007) does not mention (c) Trust and Social Value Orientation, two of the most important factors consistently studied throughout the years, by many researchers (Van Lange, 2015; Edelman, 2015; Gunia et al., 2014; Evans & Krueger, 2014; Balliet & Van Lange, 2013; Olekalns & Adair, 2013; Lewicki & Polin, 2013; Lewicki & Hanke, 2012; Evans & Krueger, 2011; Murphy, Ackerman and Graaf, 2011; Balliet, Parks & Joreiman, 2009; Bogaert, Boone & Declerck, 2008; Labonne & Chase, 2010; Evans & Revelle, 2008; Khodyakov, 2007; Lewicki, Tomlinson & Gillespie, 2006; Salacuse, 2006; Serva, Fuller & Mayer, 2005; Malhotra, 2004; Salacuse, 2003; Lewicki & Stevenson, 1998; De Dreu & Van Lange, 1995; Fukuyama, 1995; Lewicki & Bunker, 1995; Shapiro, Sheppard, & Cheraskin, 1992; Barber, 1983; Raiffa, 1982; Fisher & Ury, 1981; Livingston, 1973; Deutsch, 1958).

Evidence supporting the ten elements of the Complex Negotiation Matrix (Duzert, 2015, 2014, 2007) were found, which were considered important to the Negotiation process, according to the perception the 20 interviewees.

 This evidence is summarized as follows: (a) Context: *"I think I can say that they were there represented the spirit of Bahia's people ..."* (MSSITHE001). We found (b) Interests,

such as *"BMW was always transparent to the Government showing cases, numbers, studies, opening all the numbers, demonstrating that it was feasible and interesting for all the parties"* (MSSITHE016). There were many (c) Options discussed in the negotiations, as follows: *"I have other qualities to offer, such as technology, a delivery time competitive, the best service, in short, many factors"* (MSSITHE015). The interviewees reported negotiations involving (d) Power and (e) *cognition* in the interviews. For example, as the following quote: *"The Mayor himself addressed to us and said: - I did not listen to you at that time."* (MSSITHE014). The interviewees perceived (f) Relationship as critical to negotiations: *"Even if in small basis, has some relationship is better to have no relationship at all"* (MSSITHE007).

The interviewees also perceived the necessity for (g) Concessions, according to the following quote: *"we realized is that we can develop a modus operandi in which Petrobras has been very positive"* (MSSITHE020). For instance, (h) Conformity was perceived as follows: *"So, the last thing I wanna do is to terminate someone by phone"* (MSSITHE019). The interviewees observed (i) Criteria in the next example: *"he returned telling me that our proposal had been completely out of the costs that he was used to paying. Therefore, this first moment I could not close the deal"* (MSSITHE015), and finally (j) Time was perceived as in the following quote: *"I spent 5 to 6 weeks having difficulties with anything related to the city hall. However, two weeks ago we had another meeting, the influential people, the stakeholders were there"* (MSSITHE014).

5.4.6-Answers to our research questions

Our conclusion is that all the factors here analyzed are important to the successful Brazilian Business Negotiations.

The answer to our research question from Section 2.6.1: *What are the most important factors of success in Brazilian business negotiations?*

Our conclusion is that Trust and Social Value Orientation are important factors regarding the Brazilian Culture, according to the following supportive evidence: (a) regarding Trust: *"trust is essential"* (MSSITHE006), and *"Trust is everything"* (MSSITHE003) *"without trust it is impossible to negotiate"* (MSSITHE017). *"If you do not have trust, your negotiations will fail"* (MSSITHE008). (b) Regarding Social Value Orientation: *"Nobody wants to pay anything at that late date. No one wants to give any money"* (MSSITHE020).

The answer to our research question from Section 2.6.1.1: *What is the importance of trust in successful negotiations in the Brazilian culture?*

Our conclusion is that Trust is an important factor regarding the Brazilian Culture, according to the following supportive evidence: *"trust is essential"* (MSSITHE006); *"without trust, it is impossible to negotiate"* (MSSITHE017). *"I think we had to trust"* (MSSITHE019). *"Trust, I believe, that is the main thing"* (MSSITHE002). *"Trust, very objectively, was to be doing your job the best as you can, all the time"* (MSSITHE020). *"trust relationship creates a breeding ground for you to grow"* (MSSITHE007). *"Trust is paramount"* (MSSITHE008).

The answer to our research question from Section 2.6.1.2: *what is the importance of* Social Value Orientation *in successful negotiations in the Brazilian culture?*

Our conclusion is that Social Value Orientation is an important factor regarding the Brazilian Culture, according to the following supportive evidence: *"cooperation was made easier because there was a degree of trust"* (MSSITHE020).

"We do not have a power plant, fail to have a thermal, Brazilian society has ceased to have an excellent reference that even today there are none, then the Alagoas society ceased to be, what I repeat for the third time, the input basic competitive and more essential to any economic activity that is electricity at a competitive price and with a competitive edge necessary for economic development" (MSSITHE001).

Finally, this research answered the questions and acknowledged Trust (a personality state of mind), and Social Value Orientation (a personality trait), as important factors regarding Brazilian business negotiations, as shown in the next section.

5.5- Significance of the study

This study acknowledges the importance of Trust and Social Value Orientation regarding Brazilian business negotiations. Brazilian culture is the backdrop of this research while the Complex Negotiation Matrix (Duzert, 2015, 2014, 2007), provided insights on how to address issues in the Business Negotiation Conceptual Framework.

The questions were addressed here to understand the negotiation process and its characteristics. Qualitative studies involving trust and Social Value Orientation were conducted back to twenty, thirty years ago. Therefore, some recent researchers have drawn their attention to quantitative research and investigated Trust and Social Value Orientation in separate. We decided to investigate them through a qualitative approach because we

understand quantitative approaches somehow inappropriate to investigate Trust and Social Value Orientation, following Lewicki &Polin (2013).

The originality of this research regards the investigation of Trust, Social Value Orientation and the Brazilian business negotiations using a qualitative approach condensed in a single study.

Understanding the importance of trust and Social Value Orientation can be the basis for more assertive actions aiming the successful Brazilian business negotiations, in particular, and would be an effective way to throw more light on the negotiation process in general.

The present research also presented a contribution to the field of research in describing the perspectives of the participants to a type of evolutionary trust not described in earlier research, the Compelled Circumstantial-Based Trust that parties have to trust each other due to compelling circumstances that force mutual trust, with no previous information available on trustees.

This contribution could also be transferred to other perspectives. For example, a greater force circumstantially compelled one party to trust the other. Some circumstances may compel the parties to engage in a negotiation, trusting their counterparts, even without previous knowledge of the other party. For example, MSSTHE017 was compelled to trust a counterpart that he had no previous information about, due to the creation of IPMA Brazil (International Project Management Association). He had to negotiate with the current IPMA Global president, to trust her due to the circumstances even with no previous information regarding his counterpart.

The Business Negotiation Conceptual Framework is a contribution for many professionals, including (a) developers, publishers, and marketers; (b) negotiators, mediators, arbiters, judges, facilitators (c) decision makers; (d) any person who decides to use the

conceptual for self-knowledge, necessity, or coaching direction; (e) sponsors, and (f) researchers, among others.

Finally, we shed more light on the perceptions of what is important for the negotiators to improve their performances in Brazilian business negotiations and, therefore, become more successful negotiators.

5.6- Limitations of the study

This study is limited to Brazilian Business Negotiations. When applied to other scenarios, these conclusions may convey incorrect understandings and to affect future recommendations. However, the perceptions of the interviewees are relevant to the process of dwelling evolution in business negotiations.

The variety of the situations analyzed in this study is also limited to the number of the interviews conducted. Therefore, other situations could be analyzed in a further research in order to compare the findings with this research, for instance, negotiations for alliances, for joint ventures, for fundraising, etc.

Another limitation regards the process of the primary data collection, transcription, interpretation, preparation, codification, and process, conducted by one researcher. A single investigator interpreted all the perspectives collected from the 20 interviews. To avoid this limitation, the data were triangulated gathered by source, method, theory and type.

Two measures to avoid interviewees' time constraints were taken: first, the interviews were organized according to the best moment for the interviewee (for instance, it took two months of constant monitoring to interview one CEO – interview #20). Then a substitute for a particular interview was identified, or pointed by another interviewee.

One limitation regards to the quantity of the interviews: twenty are a limited sample size, and may not represent the opinions of the remaining Brazilian business negotiators. To avoid this limitation, we preferred to interview experts with long experience in business negotiations, to compensate in quality what is limited in quantity.

One possible limitation is specific to interviews conducted in Portuguese (three-quarters) and translated into English. To avoid this constraint, additional questions were asked in the case of doubts, field notes were taken, and analytic memos written. All the transcriptions were revised and then re-submitted to the interviewees. The interviews were considered valid after revisions conducted by the interviewer and the interviewees' final acceptance.

One limitation regards to the use of CAQDAS for qualitative analysis because they are built based on mathematical algorithms that cannot interpret data with the same complexity in which a person does. To avoid this limitation, transcribing, translating, and coding were performed manually, without the assistance of CAQDAS.

Finally, a limitation regards the naturalistic approach. The interviewees could undermine it if they discovered the factors under study. To avoid this limitation, the interviewees did not know anything about the specifics of this research, even after the interviews were finished. This measure was taken to preserve the naturalistic approach and the integrity of the data collected and further analyzed.

5.7- Recommendations

In this section, twelve managerial recommendations are presented regarding business negotiations in the Brazilian context, following our findings and analysis:

Recommendation One: **build trust from the very beginning of the relationship**. Our findings suggested that trust was important to all negotiations described here. The environment of cooperation was perceived as a critical success factor to Brazilian business negotiations. Our findings also suggested that *"trust is essential"* (MSSITHE006), and *"Trust is everything"* (MSSITHE003).

Recommendation Two: **understand the underlying interests to start building trust**. Our findings suggested that understanding the others' interests is a critical success factor for Brazilian business negotiations: *"the key success factor was the trust established from the moment that we understand above, around that topic"* (MSSITHE001), and may be a cause for fostering trust: *"we tried to establish really with them a relationship of trust; that is, to try to understand what were the real demands that Petrobras had really in every situation"* (MSSITHE020).

Recommendation Three: **if one has to trust and does not know anything about the trustee, then he should be cooperative**. Our findings suggested that if a negotiator is compelled by circumstantial forces to negotiate with the counterpart in Brazilian Business negotiations, then the negotiator will trust the counterpart somehow. *"Because I had to trust him"* (MSSITHE013). *"Trust was fundamental, yes. It was a key factor"* (MSSITHE007). Our findings also suggest that even if one has never negotiated with the other party, being cooperative could foster cooperation on the other party: *"Because he was the person in charge of the company who could access the data, could control it. Also, he had a significant barrier to this project; he did not trust the staff of this project"* (MSSITHE018).

Recommendation Four: **be the first to cooperate, to promote trust**. Axelrod (1984) posits that one should not be the first to defect: when the party defeats the other retaliates. In a sign of good will, one should cooperate first, to give an example (Axelrod, 1984). Therefore,

we recommend cooperation first, followed by trust building. The perceptions of the interviewees in this research suggested that trust was a two-way relationship that could be fostered through reciprocation: *"We trusted the supplier and the supplier trusted us"* (MSSITHE009).

Recommendation Five: **be consistent and fulfill promises**. The literature supports our findings that trust and cooperation may evolve positively throughout time, due to the consistent behaviors, as suggested by the following perception: *"he trusted because every month the staff were fulfilling their goals"* (MSSITHE005). Building trust is perceived as directly related to consistent behaviors throughout time: *"trust, very objectively, was to be doing what you can do the best, all the time"* (MSSITHE020).

Recommendation Six: **do not break trust**. Broken trust may jeopardize both substances under negotiation, such as contract rupture, as well as relationship, for instance, a loss of respect, with consequences both in short and long terms, such as conflicts, hostility, aggressions, distrust and no future deals in extreme cases. The perceptions of the interviewees suggest that *"if there is a breach of trust it is not recoverable"* (MSSITHE020), *"without trust it is impossible to negotiate and to create a block, creating synergy. It is easy to give up if you do not have trust"* (MSSITHE017). *"Trust is paramount in the negotiations. If you do not have trust, your negotiations will fail"* (MSSITHE008).

Recommendation Seven: **repair trust through forgiveness. Give a second chance or ask for a vote of trust.** Our findings suggested that broken trust could be a painful experience to live: *"I draw this basically to the total breakdown of trust and play all of our dreams into the trash"* (MSSITHE003). Trust is not easily repaired because of suspiciousness of future breaches of trust again; our findings suggested: *"I cannot trust a person who has two faces. That is impossible"* (MSSITHE002). According to the views of the interviewees, one should

ask for a second chance: *"I asked for a vote of mutual trust to solve the problem"* (MSSITHE007).

Recommendation Eight: **take good care of the reputation**. Our findings suggested that reputation may give birth to trust and is critical to succeed in Brazilian business negotiations: *"So, it is not about trusting me but about what can I deliver. My proficiency and my seniority (...) she knows that I would deliver what I promised"* (MSSITHE010). Our findings also suggested that reputation may give birth to future business: *"They started the project without a signed contract and went to do it during the project (...) based on mutual trust"* (MSSITHE014). Our findings suggested that trust and reputation are directly related: *"When it did involve trust, it means that in the next business you to continue trusting each other for future business"* (MSSITHE013).

Recommendation Nine: **create a cooperative workplace environment to foster trust**. Our findings suggested that trust and cooperation are directly related to the positive outcomes of Brazilian business negotiations. *"we tried to establish really with them a relationship of trust, that is, to try to understand what were the real demands; that Petrobras had really in every situation"* (MSSITHE020). Envy, jealousy, among all negative emotions should be avoided, because they destroy the relationship, and consequently cooperation (Axelrod, 1984, Girard, 1966). Therefore, we recommend avoiding the causes that lead to negative emotions, and consequently undermining trust and relationship, such as greed, for instance, to promote a cooperative workplace environment to foster Trust.

Recommendation Ten: **double the efforts to build trust in crisis situations**. Our findings suggested that the interviewee's perceived crisis as a factor fostering trust. MSSITHE007 reported: *"I think that the crisis helps to develop trust"; "I think this basis contributed to carrying on this relationship to the next level"; "trust relationship creates a*

breeding ground for you to grow" (MSSITHE007). Trust was perceived, therefore, as an important factor to overcome crisis situations, regarding Brazilian business negotiations. Finally, Duzert & Zerunyan (2015b) point: "Negotiation is not about being nice, cooperative and submissive all the time, nor it is about to being aggressive, assertive or competitive all the time. It is about all those things balanced" (chapter 1, paragraph 11). Therefore, one should be balanced regarding assertiveness and cooperativeness. To deal with the crisis, avoid blaming the other party and maintain a balance between value creation and value distribution. It is important to keep the focus in the solution and the future, not in the past and in the problem itself. Acknowledge that every person deserves a second chance.

Recommendation Eleven: **foster trust through reducing risks and increasing the perception of benefits to the trustee**. Our findings suggested that the interviewees perceived low risk as a factor that surrogates trust: "she *knows that I would deliver what I promised"* (MSSITHE010). Risk-reducing is perceived, therefore, as an important factor to foster trust, in Brazilian business negotiations. Evans & Krueger (2014) concluded that increasing benefits of reciprocity and decreasing costs of betrayal in Trustees help to foster trust.

Recommendation Twelve: **acknowledge the limits of persuasion and power**. **Be ethical, collaborative and fair. Think about the future of the relationship.**

Our findings suggested that the interviewees perceived clashes for power regarding the failure cases described, especially. According to Duzert & Zerunyan (2015b), we evolved from a coercive to a cognitive negotiation: "in today's collaborative world, we the citizens want more from each sector and those in leadership. While the challenges are great, the opportunities are suitable" (chapter 1, paragraph 8). Therefore, it is important to acknowledge that the limits of persuasion and power should be counterbalanced with Ethics and Justice, that we have unique opportunities to create a better environment.

5.8- Summary

In this chapter, were discussed and interpreted our previous findings and analysis (see chapter four). The summary of research was presented (Section 5.2), as well as: the conceptual framework evolution (Section 5.3); discussion and interpretation of findings (Section 5.4); significance of the study (Section 5.5); limitations of the study (Section 5.6). Finally, recommendations (Section 5.7), and chapter summary (Section 5.8).

SIXTH CHAPTER

6. Conclusion

6.1- Introduction

This Section concludes the present study. Lessons learned (section 6.2); Guidelines for future researchers (Section 6.3), Conclusion (Section 6.4) and chapter summary (Section 6.5) complete the present work.

6.2- Lessons Learned

This Section presents the Lessons learned from the 20 interviewees regarding the Negotiations described (Section 6.2.1), that the interviewees share their perceptions, and the lessons learned from Qualitative Research (Section 6.2.2) that the researcher shares his perceptions about the experience of conducting this qualitative research, as follows:

6.2.1- Lessons learned about Negotiations

The following quotations regarding lessons learned by the 20 interviewees about the Negotiations they described are presented (see also Table 28), as follows:

Some interviewees stated that their participation should be more participative in the negotiation process: *"If I could delegate more, it might be better"* (MSSITHE006).

"we had to approach those who had more practice under negotiation within the company, we realized that we needed to have something more, putting the first people able to do this work there with the team, and maintaining a constant communication with the staff, and see what was going on, always following-up to make sure that the thing was not getting out of hand" (MSSITHE020).

Other interviewees stated that their partners should be more active in the negotiation: *"I should put pressure on the manager to define who would be the main interlocutor. Who would effectively responsible for the negotiations?"*(MSSITHE008).*"I should bring my director with me more times"* (MSSITHE015). *"I had to say no"* (MSSITHE014).

"I would negotiate. We did not negotiate!" (MSSITHE014).*"I would ask many questions, and appreciate what they have done before, valued what they have done before, and the company. I would do this differently"* (MSSITHE010).*"To rely more on my experience"* (MSSITHE008).*"I do not know...I think we needed more velocity more speed in the process"* (MSSITHE012).*"I think if we did more aggressive media campaigns it would be better"* (MSSITHE016).*"I would pick a more senior person, a person with more experience because I think we lacked a bit of a maturity..."* (MSSITHE002). *"I would work with another community element, an element that was not a leader, another witness, who is not a*

trendsetter, who had another vision of the community. I saw the need to call someone else

neutral that did not think there was any favoritism" (MSSITHE008).

Some interviewees reported the lack of attention as cause of failure:*"I think so: the*

ideal would be to avoid the crisis process itself, actually it proved to be the lack of attention

on our part to this particular problem that allowed the problem to expand. However, I believe

that everything has a good side. The things that I mentioned, crises, although they are difficult

and everything else, if crises are well treated in a positive sense, they may even end up as a

good result for the relationship. It is positive" (MSSITHE007).

"What I would do differently at this meeting I would have had that emotional outburst,

and that's something I know how to do very well, but today I really had a heavy emotional

reaction, and I draw this basically to the total breakdown of trust and play all of our dreams

in the trash, right" (MSSITHE003).

"We have to solve the problem that already existed. I think about the negotiation, it is

a way that allows you to create pathways. I think about solutions for scope errors. When there

is no way you cannot think of a solution, conventional, the case is so restricted that there is no

way to find a solution. However, the cause often passes through it. Moreover, if there is a

little trust involved among people, they will end up finding a solution to the problem. I saw

very other cases where the main point was the case of loss of Trust, breach of trust, by

deliberate deception of one party" (MSSITHE007).

"What do I do now and then lessons learned, it is that if I negotiate a type of contract

like this, training, consulting, and I do not know the person, or I think I know the person, you

never know, I put in the proposal as well, quality level, scope, more than was asked to just

when that person asks for discount, I cut scope out, I put this, we will take it here, in the case

of training. To perform a customization" (MSSITHE018).

Some interviewees reported being cooperative as a critical factor of success in the negotiations: *"I should have come back sooner, have insisted more; then that is what I think I have sinned. I should have persisted with diligence, acted faster than I did"* (MSSITHE015).

"I would not be so eager (…) do not compete directly against the big firms. I would not try to beat them" (MSSITHE004).*"I first would make a study of the impact on the expectations of my counterpart regarding this negotiation about their values, and then start the negotiation process"* (MSSITHE001). *"I would have started by Petrobras and persuade them it was an important project for Brazil, important to them and relevant to everyone"* (MSSITHE001).

The interviewees in this research perceived violated promises and broken trust as causes of failure in negotiations. We learned from these interviews that broken trust leads to failure. We also learned that keeping promises and fostering a cooperative environment helps to promote trust. These lessons reflect Focus on interests and value creation, not on positions and value distribution (Fisher & Ury, 1981), would help to avoid some of the failure cases discussed. For example, MSSITHE001 narrated a failure case, in which the interests of one outstanding player were disregarded. The negotiation involved US $ 300 million, in a power plant negotiation. There were disastrous consequences for all parties participating in this process. Therefore, understanding the interests of both sides before the negotiation starts are critical to the success of Brazilian business negotiations.

We learned that negotiators should keep their promises. This attitude would avoid some of the negative results of the negotiations described. The interviewees perceived promises broken as a sign of broken trust as well. The consequences were described as feeling deceived and angry, rupture of the relationship, lawsuits, no future business, and bad reputation, among others.

We learned that negotiators should cultivate a good reputation because the reputation precedes the negotiators wherever they go. Good negotiators should do the same, because of the same reasons. Some interviewees reported in this research, how the negotiations are facilitated when there is a good reputation.

6.2.2- Lessons learned about the Qualitative Research

Conducting a qualitative research, as a matter of fact, provided four major lessons, as follows:

Lesson learned one: whatever the interviewer speaks, it shall be transcribed (and, additionally, translated into English that means extra work). Therefore, our advice for future interviewers is to make comments as minimum as possible, to pay more attention to the interviewee's comments and feelings (including the non-verbal signs).

Lesson learned two: reject the idea of outsourcing the interview transcribing. The transcription work was useful in remembering all the conversation's details when the coding process started. The interview's transcription is an exhaustive task. Nevertheless, it helps to recall those details, especially when manipulating data.

Lesson learned three: set initial questions on ethnographic information. Considering that these issues are equivalent for all the interviewees, it will be better to replicate them when the transcription task begins. It is a matter of copy and pasted the same questions for all the interviews conducted. It saves a great deal of time. Nevertheless, even after the first interviews, the semi-structured protocol was kept intact because the interviewees presented most of the time new and interesting facts when asked by the interviewer.

Lesson learned four: manual coding may a pre-historic approach, given software resources available. Nevertheless, it is effective, whether the researcher has a combination of time available to fulfill the research and smaller amounts of data to deal with (twenty interviews took two months to be fully processed). One analyst coding larger quantities of data may jeopardize the entire research and become a frustrating and exhausting process. CAQDAS software may represent additional issues to deal with, such as actualization, file compatibility due to newer software versions, and the program usage itself may be difficult to master in a very short time.

Lesson learned five: preserving a naturalistic observation; i.e., listening to people, not giving or suggesting them the answers about the research topics. This approach has the following advantages: (a) to avoid the researcher bias, through presenting real-life experiences, that the interviewees describe facts based on their past actions without the investigator's interference, who could distort the facts because of self-interests; (b) observation of the natural behaviors. The interviewees are free to express their true feelings and to share their ideas, perceptions, opinions and sensations in a more genuine fashion, without the interviewer's interference. It has the advantage of bringing more realism and credibility to the research, and, moreover, to honor the interviewee's voice (Saldaña, 2013).

6.3- Guidelines for Future Researchers

This Section addresses some guidelines for future research.

Future researchers are encouraged to study the Compelled-Based Trust through mixed methods in the different countries. Possibly, in other cultures, negotiators perceive the Compelled-based Trust in a distinct fashion than Brazilian interviewees of this research.

Possibly, the negotiators' reactions would be different if, for instance, they had more time to take decisions, or to collect information about the trustees.

Future researchers are encouraged to compare other countries' negotiators at the bargaining table, for instance, to understand the way both negotiators trust each other. It would be interesting as well to investigate how expatriate business negotiators trust each other and to discuss different perceptions about the important factors here investigated: Trust and Social Value Orientation. It is possible that the behaviors described in this research are unique to the Brazilian culture.

Future researchers may also investigate the Compelled-based Trust through quantitative studies using surveys, questionnaires, experiments or multiple methods to test hypotheses quantitatively, applied to a random sample.

The Business Negotiation Conceptual Framework could be tested through Exploratory or Confirmatory Factor Analysis, or through Structural Equations Modelling (SEM), or other quantitative methods, combined or not, to test the conceptual framework, and give birth to a model that could be applied elsewhere. Maybe, there are more important factors to be investigated. Possibly, our conceptual framework may be improved through these methods.

Future researchers may also investigate Social Value Orientation in other scenarios than business negotiations. Perhaps in other scenarios or circumstances, the negotiators behave differently. They could be more competitive in real-life situations than in allocation games, for example. Possibly, in some particular circumstances, negotiators may feel compelled to behave in a different fashion than expected for that type of negotiation. In other words, what are the forces that drive a negotiator to take decisions not by their utility, but by instinct? How do these forces compel negotiators to action? What behaviors could be fostered

or avoided? Therefore, further research is recommended on distinct scenarios, driving forces and its implications.

Transformative or Evolutionary Trust could be investigated following longitudinal approaches, rather than cross-sectional studies, to understand the transformative process regarding trust in business negotiations throughout time. Possibly, the negotiators behave differently, motivated or not by circumstances. Possibly, the findings would be different if the negotiators had more time to negotiate or more interactions than described by the interviewees in this research. Maybe, negotiators behave differently in a relationship between retailer and supplier doing business throughout many years, then in a single interaction with the other. Therefore, further studies are recommended regarding such longitudinal aspects of the research and their implications.

Future researchers could test our prediction P1: *if a negotiator is compelled by circumstantial forces to negotiate with the counterpart in Brazilian business negotiations, then the negotiator will trust somehow the counterpart* (Section.4.4.4.5). The interviewees of our research perceived circumstances or forces, that a negotiator (trustor) is compelled to trust a counterpart (trustee). Possibly, Brazilian negotiators investigated in our research perceive trust in extreme or circumstantial forced scenarios differently from other countries or cultures. Therefore, there is room for future researchers to investigate P1 (see also Table 37), and its implications for using, for example, a quantitative approach.

Future researchers could test our prediction P2: *if trust is broken in Brazilian business negotiations, then the substance and the relationship will be affected negatively in short and long terms* (Section 4.4.4.5). Our analysis revealed that the interviewees in this research perceived consequences in the short and the long run, related to broken trust in Brazilian business negotiations. These consequences could affect both the relationship and the

substance negotiated. Possibly, the effects on broken trust may be felt in the relationship, not in the substance negotiated, or vice-versa. Maybe, these findings apply to the Brazilian culture, in general, not only the business context. Therefore, we recommend to future researchers to investigate our prediction P2 (see also Table 38), and its implications for using, for example, a quantitative approach.

6.4- Conclusion

The objectives of this research were accomplished as outlined in chapter one. This research aimed to throw more light on the important factors regarding Brazilian business negotiations. This study revealed our academic contribution to the field of research on Evolutionary or Transformative Trust, the Compelled-Based Trust, which future researchers were encouraged to investigate.

In this chapter, we discussed some lessons learned collected, as well as presented the guidelines for further researchers.

We found Trust and Social Value Orientation as critical factors to business negotiations. They are fundamental aspects of the relationship and social interactions, including Brazilian business negotiations.

The Business Negotiation Conceptual Framework we developed was conceived to throw more light on the Negotiation process regarding the Brazilian context. We hope in the future it can be studied in other countries.

6.5- Summary

This Section concluded the present research. Lessons learned (Section 6.2). Guidelines for future researchers were presented (Section 6.3), work conclusion (Section 6.4), and chapter summary (Section 6.5) completed this research.

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APPENDIX A – Interview Invitation and Consent form – English

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Subject: Invitation and Consent for Participation in Interview Research for Prof. Murillo de Oliveira Dias Doctoral Thesis

Dear Sir/Madam,

It is a great pleasure to invite you to participate as a volunteer at this qualitative in-depth interview regarding **The factors influencing the success of a Business Negotiation in the Brazilian culture**, as part of the Doctoral Thesis.

Your participation is essential

Involvement in this interview is voluntary and may be of no direct personal benefit to you. This research is merely scientific, and no commercial purposes are involved. Therefore, your privacy and information disclosure are hereby assured.

Discomfort or risks

Discomforts or risks associated with completing the qualitative in-depth interview are minimal or virtually non-existent.

Consent Declaration

I volunteer to participate in the research project conducted by Murillo de Oliveira Dias from ESC School of Business.

1. I decided to take part in this project voluntarily. I will not receive any payment or financial compensation for this participation. I may withdraw and do not participate in the interview at any time.

2. If I feel uncomfortable with the interview, I may stop it anytime.

3. I will be interviewed by Professor Murillo Dias. The interview should last 60 to 90 minutes.

4. I will have my name attributed to a code, in a way not identifiable by strangers, in this research.

5. No staff of faculty or university personnel will have access to my interview.

6. I agree and understand every point above mentioned and hereby authorize the use of research for academic purposes only.

7. I received a copy of this print.

_____   _____

My Signature

Local and Date

_____   _____

My Name

Signature of the Interviewer

For further information, please contact:

Murillo de Oliveira Dias

e-mail: murillodias@superig.com.br

APPENDIX B – Interview Invitation and Consent form – Portuguese

ESC Rennes School of

Business

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Assunto: Convite e declaração de consentimento para participação em entrevista em pesquisa qualitativa do Prof. Murillo de Oliveira Dias referente a sua Tese de Doutorado.

_____

Caro Sr. / Sra.,

É um grande prazer convidá-lo (a) a participar como voluntário (a) nesta entrevista qualitativa sobre a os fatores que influenciam uma negociação empresarial bem-sucedida na cultura brasileira, como parte da Tese de Doutorado.

_____

Sua participação é importante

A participação nesta entrevista é voluntária e pode não ser de qualquer benefício pessoal direto para você. Esta pesquisa é meramente de caráter científico e sem fins lucrativos. Portanto, a sua privacidade e divulgação de informações são aqui asseguradas.

Desconforto ou riscos

Desconfortos e riscos associados à conclusão da entrevista qualitativa em profundidade são mínimos ou praticamente inexistentes.

Declaração de Consentimento

Sou voluntário quanto a participar do projeto de pesquisa conduzido pelo Prof. Murillo de Oliveira Dias a partir ESC Rennes School of Business, dada a importância da confiança e Valor Social Orientação em uma negociação empresarial bem-sucedida na cultura brasileira. Eu entendo que o projeto foi concebido para reunir informações sobre o trabalho acadêmico. Aproximadamente 20 pessoas serão entrevistadas para esta pesquisa.

1. A minha participação neste projeto é voluntária. Eu entendo que não serei pago (a) pela minha participação. Eu posso me retirar e interromper a minha participação a qualquer momento sem penalidade. Se eu me recusar a participar ou retirar-se do estudo, ninguém no meu campus terá conhecimento do fato.

2. Eu entendo que a maioria dos entrevistados acharão a discussão interessante e instigante. Se, no entanto, sentir-me desconfortável de alguma forma durante a sessão de entrevista, eu tenho o direito de recusar-me a responder a qualquer pergunta ou me sinto livre mesmo para terminar a entrevista.

3. A participação envolve ser entrevistado pelo prof. Murillo Dias, exclusivamente. A entrevista durará cerca de 60-90 minutos. Anotações poderão ser tomadas durante a entrevista. Uma gravação de áudio e vídeo da entrevista e do diálogo subsequente serão realizados. Se eu não quiser (ou puder) ser gravado (a), estou automaticamente proibido de participar do estudo.

4. Entendo que o pesquisador não vai me identificar pelo nome em quaisquer relatórios utilizando informações obtidas nesta entrevista, e que a confidencialidade como um intervieweee neste estudo permanecerá segura. Utilizações subsequentes de registros e dados estarão sujeitos a políticas de uso de dados padrão que protejam o anonimato dos indivíduos e das instituições.

5. Professores e administradores do meu campus não participarão da entrevista nem terão acesso à matérias-notas ou transcrições. Esta precaução impedirá os comentários individuais e quaisquer repercussões negativas.

6. Eu li e entendi a explicação fornecida neste documento. Eu tive todas as minhas perguntas respondidas, e eu voluntariamente concordo em participar nesse estudo.

7. Foi-me dada uma cópia deste formulário de consentimento.

_____   _____

Minha assinatura   Local e Data

_____   _____

Nome em letras de forma   Assinatura do Entrevistador

Para maiores informações, favor contatar:

Prof. Murillo de Oliveira Dias

e-mail: murillodias@superig.com.br

APPENDIX C – Semi-structured Interview plan – Interview Preliminary Questions

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522
35065 RENNES CEDEX
FRANCE

Subject: Semi-structured Interview plan – Interview Preliminary Questions

Type of Research:	Qualitative Semi-structured Interview
Starting date:	08.05.2015
Finishing date:	09.01.2015
Main author:	Murillo Dias

BEI # 1 - Positive outcome or result: 15-20 minutes		
#	**Question**	**Time**
1	Ask the interviewee about the selection of a positive event in which he was involved and describe it with all the necessary details including the role that he played himself in the event described.	5-10 minutes
2	Identifying what were the key factors explaining the success of the negotiation, i.e. using naturalistic approach described earlier, or never mentioning to the interviewee any information about the conceptual framework part of the research. Questions not restricted to: What was missing? What happened? Why?	5-6 minutes
3	Ask the interviewee about the interests of all parties involved and what the interviewee would have done differently if he would do again the negotiation	2-3 minutes
BEI # 2 - Negative outcome or result: 15-20 minutes		
#	**Question**	**Time**
4	Ask the interviewee about the selection of a negative event in which he was involved and describe it with all the necessary details including the role that he played himself in the event described.	5-10 minutes
5	Identifying what were the key factors explaining the failure or lack of success of the negotiation, using naturalistic approach described earlier, i.e. never mentioning to the interviewee any information about the conceptual framework part of the research. Questions not restricted to: What was missing? What happened? Why?	5-6 minutes
6	Ask the interviewee about the interests of all parties involved and what the interviewee would have done differently if he would do again the negotiation	2-3 minutes
BEI # 3 (optional) - Negative outcome or result: 15-20 minutes		
#	**Question**	**Time**
7	In case of more time with the interviewee, third event (positive or negative) will be selected, or derived from the interviewee own responses or new interviewer's questions that came into consideration at the moment of the interview.	15-20 minutes
Final comments and Interview Debriefing		
#	**Question**	**Time**
8	Final comments, interview debriefing and thanks to the interviewee	4-5 minutes

APPENDIX D – Interviewees ethnographic registration form

ESC Rennes School of

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Business

Pesquisa Qualitativa de Doutorado - Dados cadastrais dos intervieweees

Doctoral Thesis Qualitative Research Interviewee registration data

1) **Nome**/*Name*: _____

2) **Nacionalidade**/*Nationality*: ☐ Brasileiro/*Brazilian*   ☐ Estrangeiro/*Foreigner*

3) **Naturalidade** / L*ocation*: _____

4) **Sexo**/*Gender*:   ☐ Masculino/*Male*   ☐ Feminino/*Female*

5) **Grupo étnico**/*Ethnic group*:   ☐ Asiático/*Asiatic*   ☐ Branco/caucasiano/*White/caucasian*
☐ Negro/Africano/*Black/African*   ☐ Pardo (*only for Brazilians*)   ☐ Indio/*indigene*

6) Idade/*Age:*

☐ 20-30 anos/*years old*

☐ 31-40 anos/ *years old*

☐ 41-45 anos/ *years old*

☐ 46-50 anos/ *years old*

☐ 51-60 anos/ *years old*

☐ + de 60 anos/*years old*

7) Estado civil/*Parental status:*

☐ Solteiro/*single* ☐ Casado/*married* ☐ Divorciado/*divorced* ☐ Viuvo/*widow* ☐ Outro/*other*

8) Status de Emprego /*Employment status:*   ☐ Empregado /*employed*   ☐ Desempregado / *unemployed*

9) Educação / *Education:*

☐ Ensino Fundamental/*Fundamental*   ☐ Ensino médio/*high school*   ☐ Ensino superior/*undergraduation*

☐ Posgradualçao/*Post-graduation* ☐ Mestrado/*master degree*

☐ Doutorado/*graduation*

10) Renda / *Income:*

☐ R$ 5.000,00 a/*to* R$ 10.000,00   ☐ R$ 10.000,00 a/*to* R$ 20.000,00

☐ R$ 20.000,00 a/*to* R$ 40.000,00   ☐ + de/*up to* R$ 40.000,00

11) Experiência em negociações empresariais (em anos) / *Business negotiation experience (in years):*

☐ De 5 a 10 anos *(from 5 to 10 years)*   ☐ De 10 a 20 anos *(from 10 yo 20 years)*

☐ De 21 a 30 anos *(from 21 to 30 years)*   ☐ + de 30 anos (*up to 30 years*)

12) Profissão atual / *Current profession*:_____

APPENDIX E – E-mail invitation (English and Portuguese versions)

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Subject: E-mail invitation for participation in the qualitative interview for Prof. Murillo de Oliveira Dias Doctoral Thesis (English and Portuguese versions)

1)   **English version:**

Dear Sir/Madam,

It is a great pleasure to invite you to participate as a volunteer at this qualitative in-depth interview regarding important factors in Successful Business Negotiation in the Brazilian culture, as part of the Doctoral Thesis.

The interview should take approximately 2 hours, and it will be video recorded. You will be encouraged to talk about one positive and one negative business negotiation outcome in Brazilian scenario.

Your participation is voluntary and merely for scientific purposes. There are no commercial issues involved of any kind. Therefore, your privacy and information disclosure are hereby assured.

Looking forward to seeing you soon,

Prof. Murillo Dias

2) Brazilian Portuguese version:

Caro (a),

É com enorme prazer que o (a) convido a participar da Entrevista qualitativa a respeito dos importantes fatores de sucesso em negociações brasileiras bem-sucedidas, como parte da tese de doutorado.

A entrevista durará aproximadamente 2 horas e será filmada. Você será encorajado a contar uma história de sucesso e uma de fracasso a respeito de uma negociação empresarial brasileira.

Sua participação é voluntária destinada puramente a propósitos científicos, sem finalidade comercial. Além do mais, sua privacidade e sigilo das informações é totalmente assegurada.

Espero vê-lo em breve. Fico ao aguardo de notícias.
Atenciosamente,
Prof. Murillo Dias

APPENDIX F – Interviews summary

#	Interviewee Name	Interviewee Code	Job position	Date	Local	Interviewer	Interview Duration (min)	Starting time	Finishing time	Interview Language
1	Jorge Montenegro Barros Neto	MSSITHE001	VP Siemens	04.08.2015	Brasília, residency	Murillo	120	14:40 h	16:04 h	PT
2	Bianca Ribeiro de Azevedo Dias	MSSITHE002	Presidency Assessor RADIX	09.08.2015	Rio de Janeiro, Residency	Murillo	60	22:52 h	00:22 h	PT
3	Murilo Ramos Rodrigues Alambert	MSSITHE003	Strategy Director	11.08.2015	Rio de Janeiro, FGV	Murillo	40	14:00 h	14:40 h	PT
4	Waldo Gomes Pedrosa	MSSITHE004	Federal Auditor TCU	18.08.2015	Brasilia,, Residency	Murillo	10	23:43 h	23:53 h	PT
5	Antonio Cezar Gonçalves Azevedo	MSSITHE005	Procurement coordinator RADIX	25.08.2015	Rio de Janeiro	Murillo	50	22:30 h	23:20 h	PT
6	Pedro Rivas Gomes	MSSITHE006	Social Responsibility coordinator Petrobras	04.09.2015	Rio de Janeiro	Murillo	60	13:10 h	13:38 h	PT
7	Fabiano Gomes das Neves	MSSITHE007	Managing Director	09.09.2015	Rio de Janeiro	Murillo	40	11:59 h	12:40 h	PT
8	Livia Versiani	MSSITHE008	CEO	14.09.2015	Belo Horizonte, MG	Murillo	60	22: 43h	23:40 h	PT
9	Camila Ferreira	MSSITHE009	Civil Engineer	15.09.2015	Belo Horizonte, MG	Murillo	60	23:07 h	23:40 h	PT
10	Roberto Aylmer	MSSITHE010	CEO	16.09.2015	Niterói, RJ	Murillo	45	12:55 h	13:40 h	ENG
11	Franciara Oliveira	MSSITHE011	Analist, Coordinator	25.09.2015	Barra Mansa, RJ	Murillo	70	14:00 h	14:40 h	PT
12	Samuel Barros	MSSITHE012	Director	28.09.2105	Rio de Janeiro	Murillo	40	14:00 h	14:40 h	ENG
13	Hudson Santos	MSSITHE013	Project Manager	28.09.2015	Rio de Janeiro	Murillo	30	14:32h	15:02h	PT
14	Guilherme Hoffmann	MSSITHE014	Director	28.09.2105	Rio de Janeiro	Murillo	32	15:04h	15:32h	ENG
15	Ana Paula Motta	MSSITHE015	Logistics Sales Executive	02.10.2015	Minas Gerais	Murillo	60	21:00 h	22:04 h	PT
16	Rodrigo Navarro	MSSITHE016	Institutional Relations Director	05.10.2015	Rio de Janeiro	Murillo	60	13:30 h	14:30 h	ENG
17	Raphael Albergarias	MSSITHE017	IPMA Brazil President	06.10.2015	Rio de Janeiro	Murillo	45	14:00 h	14:45 h	PT
18	Marcela Castro	MSSITHE018	CEO Idear Consulting	07.10.2015	Rio de Janeiro	Murillo	35	11:30h	12:05 h	PT
19	Luiz Migliora	MSSITHE019	Board Member Verano Advogados	07.10.2105	Rio de Janeiro	Murillo	48	13:30 h	14:08 h	ENG
20	Luiz Rubião	MSSITHE020	CEO Radix Engenharia	08.10.2015	Rio de Janeiro	Murillo	40	18:00 h	18:40 h	PT
						TOTAL	1.005 **16 hours**	minutes **45 minutes**		

† Note: 1.005 minutes correnponds to 16 hours and 46 minutes of recordings

APPENDIX G – Explanation matrix – Positive outcomes

INT #	Event Subject	Parties	Type of Negotiation	Did the parties had negotiate before?	Trigger Event	Positive Outcome	Future consequences	TRUST:TR			SOCIAL VALUE ORIENTATION:SVO			Researcher explanation
								Trust before Eventt	Trust during Event	Trust after Event	SVO before Event	SVO during Event	SVO after Event	
1.1	Power plant project	Multiparty	Integrative	NO	Accepted local Bahian demands	Power plant buit in Bahia State	Plant sold to Japanese group. Still operating	TR-CABT-H	TR-COBT-H TR-CABT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSELF-H SVO-PSOCIAL-L	SVO-PSOCIAL-H	The difficulty presented was how to interpret Bahian society's real interests, valuing their culture. On lessons learned, Jorge points the necessity to involve local people in the planning phase of the project.
2.1	Software acquisition	Multiparty	Distributive	NO	Made risky intervention contacting president of the company directly	Software acquired successfully	Many other licenses acquired	TR-IDBT-H	TR-IDBT-H	TR-IDBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Bianca was totaly pro-social and solved a problem that anyone else for months could not solve. She broke all hierarchy and was very successful in getting software licenses. She evidences the importance of a good environment and of trust with her boss.
3.1	Consultancy fee Event	Two-party	Distributive	YES	Accepted first offer too fast (*)	Project successfully accomplished; regained trust	Regained trust and new projects	TR-KNBT-L	TR-DTBT-L	TR-CABT-L	SVO-PSOCIAL-H	SVO-PSELF-H	SVO-PSOCIAL-H	When he accepted the first offer for a consultancy job, the offer was 2x the one he had in mind, x, the other party took his quick acceptance as a sign of broken trust. I could notice, pro-social was one of the causes of his success.
4.1	Career Change	Two-party	Distributive	YES	Made a significant change in career	Aproved on TCU contest	Changed his family's life	TR-IDBT-H	TR-IDBT-H	TR-IDBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	The failure in the second interview gave birth to this interview. He counted on the cooperation among family members, specially his wife, to be succeeded in passing the TCU exam.
5.1	Budget Event	Multiparty	Integrative	YES	Decided to change budget entries	Solution to budget deadlock	Made a significant contribution to his company	TR-CABT-H	TR-KNBT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Antonio told about a negotiation occurred 20 years ago, when one of his ideas, well supported by the manager over him, gave birth to a solution to accountability that seemed to be impossible to solve
6.1	Large scale Event	Multiparty	Integrative	NO	Proved to Presidential Cerimonial trusthworthines throughh intense dedication	3,000 people Pre-salt event successful	Got himself a promotion	TR-COBT-H	TR-COBT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Pedro told how difficult was to coordinate a large scale event, for 3,000 people, in Rio de Janeiro, involving maily the Brazilian president.
7.1	Consultancy Project	Multiparty	Integrative	YES	Made a crucial intervention and saved the project and retained the client	Regained trust and Project Accomplished	New projects in the future	TR-KNBT-L	TR-CABT-L	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	a consultancy project was saved based on mutual trust and corrective actions. The relationship was refreshed with this sort of action taken. The process was traumatic.
8.1	Partnership Event	Two-party	Distributive	YES	Built a strong partnership with Multinational company	Sales representative contract signed	Became partner of the Multinational Co.	TR-CABT-L	TR-KNBT-l	TR-IDBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Livia uses her network to build a relationship of trust and found her own company, being associated to a north-american company in her segment.
9.1	Partnership rupture within project	Multiparty	Integrative	YES	Had patience to deal with partnership broken during a project execution	Project successfully accomplished	Avoided a huge problem with project continuation	TR-KNBT-H	TR-DTBT-L	TR-COBT-H	SVO-PSELF-H	SVO-PSOCIAL-L	SVO-PSOCIAL-H	Camila told me how two partners broke trust and disrupted their partnership in the middle of the contract.
10.1	Consultancy/Salary Event	Two-party	Distributive	YES	Made audacious honorarium demand	World tour 2014 accomplished	New projects in the future	TR-KNBT-H	TR-KNBT-H	TR-KNBT-H	SVO-PSELF-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Roberto asked three times the regular one and succeeded. He used his trustworthines and solid reputation to leverage the negotiation.

Appendix G (*Continuation*)

11.1	Comunity claim. Power plant implementation	Multiparty	Integrative	NO	Attended minor reinvidications	Comunity partialy attended. Project succeeded	Atenuated serious community problems	TR-DTR-H	TR-DTBT-H	TR-CABT-L	SVO-PSELF-H	SVO-PSOCIAL-L	SVO-PSOCIAL-H	slum representatives nearby a power plant in Marahão state trying to be reallocated as part of the project, what actually they were not.
12.1	Contract Event	Multiparty	Integrative	YES	Trust between parties	Convenium signed	Ongoing commercial relationship	TR-KNBT-H	TR-KNBT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Samuel told me how common interests between two institutions, based on frienship of its constituents made a solid agreement benefitial for both.
13.1	Equipment Maintenance	Two-party	Distributive	YES	Trusted old friend and supplier	Equipment guarantee fulfilled	New acquisitions. Enduring relationship	TR-KNBT-H	TR-KNBT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Hudson had to deal with a long term business relationship on a problem involving guarantee
14.1	Civil Project Management	Multiparty	Integrative	NO	Asked for a vote of Trust (ongoing process)	Olympics 2016 project delivered on time	Future projects are expected	TR-CABT-H	TR-COBT-H	TR-COBT-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSOCIAL-H	obviously I would never trust someone who asked me to insert in a final moments of an ongoing project, hal million reais to build a fence fot a golf camp.
15.1	Sale of logistic services	Two-party	Distributive	NO	Persisted with client to gain trust	New client account acquired	Snowballing effect: the client recommend service to others	TR-CABT-H	TR-CABT-H	TR-CABT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Ana Paula told me how she succeeded in a negotiation with a client about transportation services. Good reputation, she said, is good for business, people trust you more.
16.1	Automotive Industry Project	Multiparty	Integrative	NO	Used transparency and understanding interests at stake	BMW full factory implanted in Santa Catarina	9 other automotive industries implanted their factories in Brazil	TR-CABT-H	TR-COBT-H	TR-KNBT-H TR-IBDT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	the strategy of transparency adopted bt BMW to successfully change a Law and finally assembling their full factory in Araquari, SC.
17.1	Project Institute Implementation	Multiparty	Integrative	NO	Asked for a vote of Trust and proved to be worth of it	IPMA Brazil founded	Project managers gained opportunity to be internationally certificated	TR-CABT-H	TR-COBT-H	TR-IDBT-H	SVO-PSELF-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Raphael told me how IPMA Brazil was founded, his pitfalls and barriers that he had to overcome.
18.1	Software project	Multiparty	Integrative	NO	Gained trust from project blocker	Alluminium boiler control sofware substituted	Built a relationship of trust with the rebel employee and delivered it	TR-COBT-H	TR-COBT-H	TR-CABT-H	SVO-PSELF-H	SVO-PSOCIAL-L	SVO-PSOCIAL-H	The person distrust the group because he was afraid of being terminated. So, he created difficulties until Marcela regain his trust and the project be completed on time and successfully.
19.1	Termination contract	Multiparty	Integrative	YES	Trusthworthiness to old friend and terminated CEO	CEO dismissal deal at court successfully	Renewed bonds of solid trust	TR-KNBT-H	TR-DTR-H TR-DTBT-L	TR-CABT-L TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Migliora told me how people can be disrespectful in a CEO termination case, in which a junior HR employee came to fire a 30-year company guy. The case went to court
20.1	Project Management	Multiparty	Integrative	NO	Gained trust from begin to end	$ 120 MM RENESTE project accomplished	New bigger projects in the future	TR-COBT-H TR-KNBT-H	TR-KNBT-H	TR-KNBT-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	SVO-PSOCIAL-H	Rubião told me how a 120 million project was well succeeded because of teams alignment, a lot of efforts from both sides and a cooperative environment fostering mutual trust

APPENDIX H – Explanation matrix – Negative outcomes

INT #	Negotiation Subject	Parties	Type of Negotiation	Did the parties had negotiate before?	Trigger Event	Negative Outcome	Future consequences	TRUST:TR			SOCIAL VALUE ORIENTATION:SVO			Researcher explanation
								Trust before Event	Trust during Event	Trust after Event	SVO before Event	SVO during Event	SVO after Event	
1.2	Power plant project	Multiparty	Integrative	NO	Broken trust through leaving Petrobras out of the negotiation process	Failure in building 300 MM power plant in Maceio	Maceio has never had a power in its whole history	TR-CABT-L	TR-DTBT-H	TR-DTR-H	SVO-PSOCIAL-H	SVO-PSELF-H	SVO-PSELF-H	My perception was that hiding information (proposital or not), was interpreted by the other side, Petrobras, as a gesture of broken trust. The relationship deteriorated and the power plant was never built, 17 years ago.
2.2	Salary negotiation	Multiparty	Distributive	NO	Broken trust through lasking salary raise in a disrespectful manner	Assistant fired	Never more will work in that company.	TR-CABT-L	TR-DTR-H	TR-DTR-H	SVO-PSOCIAL-H	SVO-PSELF-H	SVO-PSELF-H	Bianca told me about a secretary assistant who was pro-self and asked in a disrespectful manner salary raise. It is incredible how lack of perception od the momentum is crucial for negotiations.
3.2	Real state negotiation	Multiparty	Distributive	NO	Partnership terminated unilaterally. Broken trust	Project real state building never finished	Never again had businesses with that counterpart	TR-CABT-H	TR-DTBT-L	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	Murilo also showed how impotant proved to be trusting in his accountant's advice. Once again, competitive envirnment was related to poor results as well as broken trust.
4.2	Environmental Architecture Negotiation	Two-party	Distributive	NO	Tried to beat on a competition a major player	Got project reproved for 1 point	Abandoned type of business	TR-CABT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	Waldo described a lack of perception when he came from USA and thought in opening his business here, with the same mentality of US entrepreneurs.
5.2	Procurement Negotiation - furnace acquisition	Multiparty	Integrative	YES	Lowed price and quality to attend client's price demands	Furnace broke, trust has broken apart	Loss, buying other furnace to save reputation	TR-KNBT-H	TR-CABT-H	TR-CABT-L	SVO-PSELF-H	SVO-PSOCIAL-H	SVO-PSELF-H	The equipment bought was poor quality one and broke in the middle of operation, causing a 6 month delay in the entire project, once the task was critical and the losses were big.
6.2	Software acquisition for event	Multiparty	Integrative	YES	Company did not make any effort to deliver it	Software was not delivered, borken trust	Company had to deliver it for free and more one request in order to save reputation	TR-KNBT-H	TR-COBT-H	TR-DTR-H	SVO-PSOCIAL-H	SVO-PSELF-H	SVO-PSELF-H	The European company was not able to fulfill the promised. In retaliation, Pedro, using his position of a major player in Brazilian business scenario, asked for more than originally hired and succeeded, in an attempt to rebuild trust, the company conceded the augmented reality software for free.
7.2	Project consultancy contract negotiation with government	Multiparty	Integrative	NO	State government official did not honor contract	Trust broken, company delivered project accepting huge loss	Never made business again with that government	TR-COBT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	His company at the end of the day, abandoned the project losing 20% of the gross income in claims never paid by the state office.
8.2	Project consulting in Cachaça business	Multiparty	Distributive	YES	Presented extremely high service prices on Expocachaça	Trust broken, lost all prospects at once	Never made business in her State	TR-KNBT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	Livia told me how a lack of understanding 20 major client's concerns cost her a lot. She presented a product and had access due to good relationship, trust and after telling the price all trust was washed away.
9.2	Contract Negotiation	Multiparty	Integrative	NO	Received contract poorly designed inexecutable	Trust broken among all departments	Re-work and overall losses. New contract substitute the old. Broken trust.	TR-COBT-H	TR-COBT-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-L	SVO-PSELF-H	a contract poorly designed, full of major flaws could destroy the cooperative environment within her department.
10.2	Consultancy negotiation	Multiparty	Distributive	NO	Did not pay due attention to clients' needs	Broken trust and loss of consultancy	Never made business with the same client again	TR-COBT-H	TR-COBT-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	trust was broken because Roberto didn't pay attention the the clients' real interests.

Appendix H (*Continuation*)

11.2	CONFLICT WITH REALOCATED COMMUNITY	Multiparty	Integrative	NO	Internal disagreement among team members, no leadership	Paralisation of industry works	Comunity was never attebded	TR-COBT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-L	SVO-PSELF-H	one community (slum) tried to paralize the reallocation work, in detriment for themselves. They strived to get concessions out of the table.
12.2	Health care contract negotiation	Multiparty	Integrative	YES	Price divergency lead parties to Court	Broken trust and no deal (still in Court)	Never made business with the same client again	TR-DTR-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	Samuel did the calculations for both and observed that both were wrong. Once more, competition leads to breaking trust, difficul to repair.
13.2	Procurement Negotiation - $ 45 MM equipment acquisition	Multiparty	Distributive	NO	Brazilian company did not trust buyer	Brazilian company lost a $ 45 MM deal	Never made business with the same client again. Competitor took over.	TR-COBT-H	TR-COBT-H	TR-DTR-H	SVO-PSELF-H	SVO-PSOCIAl-H	SVO-PSELF-H	Hudson told me how a Brazilian company could let go a 45 million dollar equipment acquisition based on the false premise that the client (himself) was bluffing about how much they could really pay.
14.2	Project Restauration negotiation	Multiparty	Integrative	YES	One party abused of previous trust and made unaccptable demands	Broken trust and project completion	Never trustes the client again without written rigid contract	TR-KNBT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	trust could be destroyed because of tacit agreement, misused by the counterpart in order to ask for more money in a restoration contract.
15.2	Logistics service contract negotiation	Two-party	Distributive	NO	Did not pay due attention to clients' needs	Set the price too high - client did not close the deal	Big operation lost. Re-work, broken trust	TR-CABT-H	TR-CABT-H	TR-CABT-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	prospect negotiation did not take off because lack of persistence on her side and lack of good prices to offer the client.
16.2	HD TV Standard Negotiation	Multiparty	Integrative	NO	Chosen Japanese standard	Brazilian government paid more for less	Brazil does not have interactive content in TV - poor quality service	TR-DTR-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	It is remarkable, how a TV channel passed the worst and most expensive standard to keep control of TV production in Brazil.
17.2	IPMA Certification Process	Multiparty	Integrative	NO	Coallition to divide IPMA in LAC blocks under Chilean command	Broken trust;block rupture; re-certification process	IPMA took 2 years to re-certificate. Trust broken never repaired	TR-DTR-H	TR-COBT-H	TR-COBT-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	a domination plot was orchestrated by the certification director from IPMA leading to rupture and re-processing all the certifications into a full certification provider
18.2	Training service contract negotiation	Two-party	Distributive	YES	classmate demanded abusive discount	No deal and broken trust	Never do business with this classmate again	TR-KNBT-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-L	SVO-PSELF-H	Marcela told me how a classmate lost her trust on a pretense friendship in the exact moment that he tried to squeeze her in a training price, asking for absurd reductions.
19.2	Lawyer representing service contract negotiation	Multiparty	Integrative	YES	Client demanded too much information and never signed contract	Contract never signed and broken trust	Never do business with this prospect again	TR-KNBT-L	TR-DTR-H	TR-DTR-H	SVO-PSOCIAL-H	SVO-PSELF-H	SVO-PSELF-H	one Billionaire family was playing auction game with him and other lawyers, interested in taking the multimillion dollar case.
20.2	Project Management negotiation	Multiparty	Integrative	NO	Project has grown without control	Conract rupture, dismissal of 50 people	Never did project with this client again	TR-DTR-H	TR-DTR-H	TR-DTR-H	SVO-PSELF-H	SVO-PSELF-H	SVO-PSELF-H	lack of responsability of all involved. The project started with 10 people and then came to 50 and was unworkable. How the trust was broken, without any possibility of repairing, given the high losses for both.

APPENDIX I – Word Frequency Distribution

Word Frequency Distribution

#	Word	F	#	Word	F	#	Word	F	#	Word	F
1	TRUST	253	26	months	57	51	new	36	76	great	29
2	Brazil	137	27	talk	56	52	mportan	34	77	proposal	29
3	good	115	28	long	52	53	moment	34	78	egotiatin	29
4	people	112	29	fore	51	54	market	34	79	rey	29
5	contract	96	30	different	50	55	several	34	80	money	29
6	way	95	31	manager	50	56	ommunit	34	81	difficult	28
7	person	90	32	success	49	57	used	34	82	start	28
8	process	85	33	fact	47	58	Siemens	33	83	better	28
9	business	85	34	ompanie	47	59	xperienc	33	84	sponsibil	28
10	years	82	35	state	45	60	year	33	85	never	28
11	problem	72	36	software	42	61	BRL	32	86	question	28
12	client	67	37	put	42	62	lawyer	32	87	close	28
13	team	66	38	nterestin	41	63	technica	32	88	system	28
14	end	66	39	second	41	64	wrong	32	89	talking	28
15	relationship	64	40	ompetitic	41	65	decided	32	90	example	27
16	back	64	41	got	41	66	big	32	91	email	27
17	day	63	42	involved	41	67	ompetitiv	31	92	eputatio	26
18	part	61	43	IPMA	40	68	parties	31	93	place	26
19	som	59	44	order	40	69	come	31	94	control	26
20	Brazilian	59	45	king	40	70	result	30	95	equipmen	26
21	came	59	46	level	39	71	table	30	96	days	26
22	lot	58	47	iformatic	39	72	lifferentl	30	97	job	26
23	price	58	48	failure	38	73	contact	30	98	deal	26
24	get	57	49	little	38	74	ooperatic	30	99	uccessft	26
25	now	57	50	value	36	75	story	30	100	use	25

APPENDIX J – Supportive Matrix: Trust and SVO

Clusters				Positive Outcomes		Negative Outcomes	
L	Role	Participant	M/F	Trust	SVO	Trust	SVO
T	CEO	MSSITHE020	M	"we tried to really establish with them a relationship of trust, that is, to try to understand what were the real demands that Petrobras had really in every situation " "so that trust among businesses: - what is being said is true. - What is being	"we realized is that we can develop a modus operandi in which Petrobras has been very positive"	"the customer had no trust in anything that we had been talking" "if there is a breach of trust is not recoverable"	"I saw quickly that it was useless or personnel continue the meeting. Because the thing was in such a way "a broken crystal," I was already so bad that no use they get"
	CEO	MSSITHE018	F	"Because he was the only guy in the company who could access the data, could control it. In addition, how was going to	"no, he was not competitive, it was a closed person" "certainly changed my way of trust, not relying entirely. Of course, people close ok, people like that, colleagues, no".	"I will not be bargaining with you, you are my friend, I trust you" "Hey, I go within your company, then you have to have a higher trust level".	"I got out of negotiation. And he tried to play: - see that not only is this, have other training, but a person who does this in a moment, will make other and there will want to operate me, will want to squeeze me more and more"
	CEO	MSSITHE014	M	"I said: - do you trust me?" "The Mayor himself addressed to us and said: - I didn't listen to you at that time. But you know, I know you are a trustworthy guy.	"I spent 5 to 6 weeks having difficulties with anything related to the city hall. However, two weeks ago we had another meeting, the major people, the stakeholders were there"	"They started the project without a signed contract and went to do it during the project (...)based on mutual trust. Because a lot of service used to do previously " "distrust"	"good relationship, based on mutual respect" "- if you guys want to continue working with us that's the way we want. Then the relationship deteriorated"
	CEO	MSSITHE010	M	"It was a very specific kind of trust, because they knew I was going to deliver the results" "So, it is not trust in me but what can I deliver. My proficiency and	"so if I explored the real need of my client, I would have an easier negotiation, because it was the first time FDC was doing this, so"	"I didn't build trust before" "My mistake. I didn't check the information before. I stand my points. So, I didn't build a solid basis for negotiation and they were afraid of the result of this program" ". I skipped a very basic step, my work in relationship of building trust"	", there were 2 different managers and they did not agree too much with each other. Because they are at the same level, both were responsible for this workshop"
	CEO	MSSITHE004	M	"I combined with my wife"	"The fear of not having my name on the list .."	": I conveyed the trust that I was going to win"	" - I actually had to have prepared me better. I was naïve. Why? Because I was contaminated by free (North) American initiative "
T	President	MSSITHE017	M	"without trust it is impossible to negotiate and to create a block, creating synergy in order to present. It is easy to give up if you do not have trust" "we created trust between each other" "In Rio de Janeiro team, we trusted each other. We trusted	"the part of the board from Minas Gerais they very cooperative among themselves. They were very close to each other"	"the only way to make things right was to start it over and to negotiate with whom could be be trusted" "they had a lot of mutual trust, so I guess it was, some kind of tacit agreement" "they lost the trust in us because we supposed to be dominated by them" "I also had the opportunity to have a direct conversation with him, and we start over the trust again" "the key issue behind all difficulties was about trust. "	"very competitive scenario, very complex scenario (...) – it was very, very hard time"
	Vice-President	MSSITHE001	M	"trust was something you had to win " "the key success factor was the trust established from the moment that we understand above, around that topic"	". There was. .. It was a spirit of cooperation but there was a spirit of competition" "I honestly think that Siemens won this competition because we managed to find out which were the most sensitive factors of government expectations of Bahia and then I think I can say with certainty that they were there represented the spirit of the people of Bahia ..."	"Petrobras has no trust in anyone. Petrobras neither trust in itself" "I repeat: all came about by a problem of lack of achievement of trust"	"but Petrobras did not accept to negotiate and to negotiate with us at all in these competitive basis" "the state government obviously had every interest in having this investment there. The federal government saw it with good eyes and saw it as a pilot project from which could generate several other similar projects. Petrobras saw it as just another interested in natural gas, which alone marketed, only she explored and decided to who would or would not sell."

APPENDIX J (continuation)

	Clusters			Positive Outcomes		Negative Outcomes	
L	**Role**	**Participant**	**M/F**	**Trust**	**SVO**	**Trust**	**SVO**
H	Director	MSSITHE019	M	"I think we had trust all over. First thing is that, the guy being terminated he trusted and trusted me a lot" "I think that was good, and of course, the trust I also could see from my client on me, he said: -I know that you are very close to that guy, I know you will be able to do a good job" "I think there was a lot of trust involved"	"they sent a person from the US here, because I told them: - the last thing I wanna do is to terminate someone with 30 plus years. He had almost 30 years in the company. So, last thing I wanna do is to terminate someone by phone"	"working with a client that is not trustworthy and who you cannot trust either. So, I complete lost any trust in them" "He created artificially trust and, at the end of the day, even his number is true "	"This guy came in, he started giving a lot of information regarding the case, he started asking me preliminary reviews, and we've ended up, Murillo, in two months, you know, I invested about one hundred dollars of work, an average rate of R$ 500,00. We were investing like R$ 50.000,00"
	Director	MSSITHE016	M	"trust was a key element here, brought this negotiation into a successful outcome" "So, in my opinion, that's a very good case that shows how important trust is in a negotiation"	"first, transparency. BMW was always transparent to the Government showing cases, numbers, studies, opening all the numbers, showing that it was feasible and interesting for all parties "	"The problem was that one of the arguments they used to conclude the negotiation with the Japanese "	"Therefore, they started to lobby for the Japanese standard, and, at the end of the day, the Government had thought that had much information that, supposed to have the biggest media group on their side, it was a good argument for them, to have the biggest media group on your side, chose the Japanese system"
	Director	MSSITHE012	M	"trust is about reputation" "I trust him. He is a good guy"	"there is a good relationship among the team members"	"they don't trust each other, papers and numbers are different" "they destroyed trust. "	"they said: -you are wrong, you are wrong"
	Director	MSSITHE007	M	" I asked was a vote of mutual trust to solve the problem" "trust was fundamental, yes. It was a key factor" "I think that the crisis helps to develop trust"	"Therefore, you show interest for the client's needs and it helps a lot in the process" "Second point is that you have to foster a relationship. Even if in small basis, have some relationship is better to have no relationship at all"	"if there is a little trust involved among people, they will end up finding a solution to the problem. I saw very other cases where the main point was the case of loss of Trust, breach of trust, by deliberate deception of one party."	"- I think that causes the problem. That's the cause. The scope was poorly defined, poorly structured. But the point is not the cause, but the solution of the problem. We have to solve the problem that already existed. "
	Director	MSSITHE003	M	"they trusted in my work ..." "but the bottom line is that trust had to govern" "I made a mistake and that mistake, in a way, undermines the trust between parties"	"I was good and on top there was the intellectual challenge, you know, I would love to continue modeling it there, it was very interesting"	"Trust is everything. You can trust the people who advise you is everything" "the situation was deteriorating, relationships among people. I considered it a brutal breach of trust" "I draw this basically to the total breakdown of trust and play all of our dreams into the trash"	"he wanted money in a more immediate way"
I	Project Manager	MSSITHE013	M	"Because I had to trust him" "When it did involve trust, it means that, in the next business you to continue trusting each	"The negotiation was successful because we got a good solution, it was provided for us a good amount of the parts broken, and we've bought some spare parts of them"	"because they did not trust we were telling the truth about their price being the highest" "they didn't trust the project, they didn't trust the company"	"because they decided not to believe that the international competitors didn't have better prices. At the end, we had to close the deal with these Swedish guys"
	Coordinator	MSSITHE011	F	"You will check how many times a name was cited that level of trust a leader has" "need to have emotional control, display trust posture, listening, language have adapted to the public"	"they wanted the company to rebuild the bus stop. That we made as a result"	"There was a complete breakdown of trust, partner's fragility, the format itself, the language was not appropriate"	"I did my part, but internally the commitment was not accepted. I ended up doing it in order to resolve the situation. In addition, the company would have fewer problems. (...) it was not well accepted because there were other people in the company with other arrangements."

APPENDIX J *(final)*

Clusters				Positive Outcomes		Negative Outcomes	
L	Role	Participant	M/F	Trust	SVO	Trust	SVO
I	Coordinator	MSSITHE006	M	"Trust is essential" "my manager trusted, because he knew that I only authorized if it were necessary. So he trusted, had a relationship"	"to cooperate because they (OC: the Presidential ceremonial) see that you're actually collaborating they then begin to relax a few things"	"a prior trust in them, they burned" "it was a highly specialized service, had no alternative, but not It was a service, so to speak, that would not compromise the event, so to speak, if he had anyone ..."	"it was a calculated risk too, because it was something that did not have much impact if it did not"
	Assessor	MSSITHE002	F	"He had trust in me by principle, and I had trust on him"	"We began to have more contact that is frequent with the president who was in the same seat in the United States and the same general manager became a partner "	"I trusted her(...) and it was expected of her trust" "this girl showed me to be a trustworthy person" "there was not more trust. The person she was with simply different speeches" "I cannot trust a person that a person who has two faces. That is impossible" "First, one has to prove reliable and trustable. Trust I think that is the main thing"	"she has had initiative; as I said, I was super satisfied, I and my boss were super satisfied only she came to me asking if we could give rise to it, just to understand she was 4 months now ... so she came to talk me, asking if he could give an increase to her, because she was doing a course, then she asked if was working all right"
L	Procurement	MSSITHE005	M	"he trusted, because every month the staff were fulfilling their goals"	"there was no competition at all"	"there was a breach of trust"	"their (the competitors) prices were much higher and as we won the bid for a low price"
	Engineer	MSSITHE008	F	", they had a lot of trust in me, and that was the key factor, because they gave me the software all for free" "they saw great trust and that trust came from my potential, right? They saw in me a potential. tit was a nice negotiation, total trust, I trusted them too, because my business depended on them"	"I think that's the way it should have been done and it was, and it took a partnership of many years" "And the college has a partnership with this company she also hands over software for scientific research "	"This fact completely broke trust in me" "trust is paramount in negotiations. If you do not have trust, your negotiations will fail"	"We only cooperate with whom we trust..."
	Engineer	MSSITHE009	F	"we had to choose. Trusting one side of the story, or trusting the other side "	"- It was the work 4 hands ... 6 hands, right? The critical success factor was the fact that everyone was able to sit down and negotiate. Everyone leave happy that negotiation"	"We trusted the supplier and the supplier trusted us. Who did not trust us was our internal client, internal department" "We, do not trust you to make the contract management, they used to say"	"Then it turned into an internal competition, like I'm right and we will fight for it"
	Saleswoman	MSSITHE015	F	"I gained a trust due to an opportunity that I could win the service on the product it finished in the road, it is super satisfied	". I have hypercompetitive prices in road and where have air, several regions will enjoy both air and road transportations"	"he returned telling me that our proposal had been completely out of the costs that he was used to paying. Therefore, this first moment I could not close the deal"	"my rates were much higher than the competitor" "I have other qualities to offer, such as technology, a delivery time competitive, best service, in short, many factors"

Legend: T= Top Level Management   H= High Level Management   I= Intermediary Level Management L= Low Level Management   M=male   F=Female

APPENDIX K – Interview transcript sample (Interview #20.1)

ESC Rennes School of

Business

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Subject: Behavioral Event Interview (English version)

Interviewer: Murillo Dias

Interviewee: Luiz Rubião

Rio de Janeiro, 08.10.2015

Beginning: 18:00 h

Ending: 18:40 h

Subject: Behavioral Event Interview # 20.1 – Positive outcome

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OC: The interview was conducted in English, audio recorded at FGV Botafogo, Rio de Janeiro, in a quiet classroom. The noise in the background is subtle.

Murillo Dias: - well, first things first, thank you, Rubião for your welcome and participation in my doctoral thesis research. We're starting our #18 interview, conducted at 6 PM on Thursday, October 7, 2015, at Rio de Janeiro, and our guest are **Rubião** is the CEO of Radix Enegenharia S/A. I first thank you for the invitation acceptance, you will tell a story for us is about a Brazilian business successful negotiation and then one unsuccessful negotiation, and what you would do in each case differently, right?

This research has a purely academic purpose, it has no commercial purpose, it was handed you a document that has a disclosure of information. However, you can at any time to decide stop answering the questions and data will not be published and therefore, the research is terminated. At the end of the interview, you will receive a transcript with all information collected here. It will also be translated into English, and then you get at the end a copy of your written interview. The subsequent authorization will be included in our survey.

So the two cases in which we will deal ... and here I need to open an important parenthesis that trust in English means trust, including word that comes from *trost* German, but the *trost* Old Norse also, it implies trust on the other. Trust itself we use in English is confidence that comes from Latin *confidere*, common faith ... faith in himself. In Portuguese, I need to put this research in Portuguese because we only have one word for both, *confiança*, ok. Therefore, as the interview is conducted in English, it makes sense, and this note must appear on all the interviews from this. So, trust, for our practical sense, is the other negotiating partner, whom we will be negotiating, right? Do you have a question a question initially like to make about the process, everything, before we start the interview?

Murillo Dias: - Please, tell me your name:

Luiz Rubião – **Luiz Rubião**

Murillo Dias: - nationality

Luiz Rubião –Brazilian

Murillo Dias: - birth location?

Luiz Rubião –Rio de Janeiro
Murillo Dias: - gender?
Luiz Rubião: - male

Murillo Dias: - age?
Luiz Rubião: - 50 years old
Murillo Dias: - ethnicity?

Luiz Rubião: -white

Murillo Dias: - parental status?
Luiz Rubião: -married
Murillo Dias: - company?

Luiz Rubião: - RADIX ENGENHARIA S/A

Murillo Dias: - position/function?
Luiz Rubião: - CEO
Murillo Dias: - education?
Luiz Rubião: - Master degree
Murillo Dias: - time of experience in business negotiations?
Luiz Rubião: - 30years of experience
Murillo Dias: - social class?
Luiz Rubião: - upper class
Murillo Dias: - type of negotiation?
Luiz Rubião: - integrative, multiparty, PROJECT MANAGEMENT
Murillo Dias: - bargaining scope?
Luiz Rubião: -
Murillo Dias: - what is the first negotiation about?

Luiz Rubião: – NEGOTIATION OF PROJECT WITH PETROBRAS RENESTE

Murillo Dias: - please, tell me about your first negotiation

Luiz Rubião - We always have a few examples of what we remember, by volume of questions we did some negotiations at the time we were in the old company and had to do a big project for the refinery Petrobras (OC: Referring to Chemtech, also CEO, later sold to Siemens).

Murillo Dias: - RENESTE? (OC: Refinery of the Northeast or Northeast Refinery, 3 billion dollar project)

Luiz Rubião - RENESTE. It's a case that I find absorbing because first was a critical work from the term standpoint pressure, pressure also very excellent quality, a great team, the staff of 400 people involved in the project, so the project had a very great complexity. Throughout the project, as it was in a sense already be expected, because Petrobras had already been a very reasonable time

Murillo Dias: - when you started?

Luiz Rubião - began in 2008

Murillo Dias: - lasted how long?

Luiz Rubião - lasted a few years, at least about 3, 4 years. I followed it directly for 2 years.

Murillo Dias: - ok

Luiz Rubião - In these first two years, Petrobras was already without running projects of this ride, this size, due to the refinery. The Petrobras refineries were all opened in the 1980s, so it was to be expected, and it turned out that many things were being changed throughout the project. It was necessary, therefore, to modify some things were done a certain way, and with it. We ended up generating, during the project, a great need to make contractual arrangements, to make additives to the contract, and one of the things we realized is that we can develop a modus operandi in which Petrobras has been very positive. First, proactive to our side, we tried to establish really

with them a relationship of trust, that is, to try to understand what were the real demands that Petrobras had really in every situation (OC: scratching his head and neck with right hand). We attempted to get them to be resolved as they were appearing, although the negotiations had not been fully realized. We had some situations where there were emergencies. One had to solve a one-hour problem to another, and we managed to develop a way of working, a way that it is obvious that we do not accept any change request, but when we actually identified a case that needed be treated in a more agile way. We then gave progress for that case, even though the negotiations had not been fully conducted. We did design review steps, and these steps we dealt first with the staff personnel, to see if indeed all that was needed had already been made in a previous period, and it was there rising inside Petrobras' hierarchy to arrive at a board level, which was where the final approval was done, but what we got this way of working, to put it like that very clearly, a lot of objectivity, not wanting to enjoy a little the situation, to take a very great benefit to our company, but then also giving attention to the demands really critical customer,

Murillo Dias: - this perception was the same over there as well?

Luiz Rubião – look, I think it was at slightly higher levels. As he climbed back in the hierarchical levels of Petrobras, people perceived the value of our behavior. So, I would say the following: our process of negotiation was it varies according to the level that we were at that stage of negotiations, and then at the first step, it was the staff so most of the day-to-day,

Murillo Dias: - operational?

Luiz Rubião - operational, and say that has not thus

Murillo Dias: - technique, preparation?

Luiz Rubião - was not as experienced in negotiation and have the allocation and the power to make such negotiations, to the end, approve an extra service. They do not have that autonomy. They have to climb it in Petrobras. We could understand what was being done with these people, developing, so that trust among businesses: - what is being said is true. - What is being talked about is a certain thing. Moreover, every time we came up the managerial levels was coming the next to consider the limits of financial approval within the Petrobras until when it actually came in the Petrobras board; approval could be made up in a quiet way.

Murillo Dias: - This contract was by Law 8.666 / 93 (OC: government's acquisition Law)?

Luiz Rubião - no, this agreement was made according to the specific Petrobras standards of Law variation 8666

Murillo Dias - has a winning bid that Petrobras has a single special system can do by Law (OC: 8666) or without. And I have noticed that when the trade is by law has a standard: because the law is more limited, more rigid. And when it is outside the law, it can, it's different.

Luiz Rubião - it is even outside, so they have their limits

Murillo Dias: - internal,

Luiz Rubião - internal, you cannot get the approval of anything. As much as there is this discussion about *the Lava a Jato (OC: biggest corruption scandal Involving the government party, PT, from Brazilian president)*, the fact is that for the vast majority of companies, Petrobras embezzlement, it happened in a very systematic way, did not have this world of corruption, had not yet, and did not affect so if you were a small business, a medium enterprise in a short contract, an average contract, and I lived this experience several Sometimes the treatment that was given was a very technical treatment, very standard, did not even have room for unorthodox solutions *(OC: Referring to corruption).* I had it. So I think there we managed to make good negotiations, which brought a good result for Petrobras and for us too because we ended up being paid for that service that we did.

Murillo Dias: - at that time, you were working on that part of these projects?

Luiz Rubião - in fact, it was the company's CEO

Murillo Dias: - ah,

Luiz Rubião - then. My role in the negotiation was just the last part,

Murillo Dias: - when only comes cucumber for you *(OC: when only the problems used to came).*

Luiz Rubião - just as he arrived at the director level, executive management, administrative managers and leaders, and the final discussion would there be made, that is, there really would be placed there in the balance the economic side, the technical side *(OC: doing hand gestures if the weighing two things on the scale)* but the thing was quite easy because the technical aspect had been well resolved, the lower levels, they had the assignment to discuss it. Moreover, much facilitated the discussion of the financial part. Moreover, it is obvious, is not much. Pure and simply we did not win anything, we left the thing on the table too *(OC: referring to the bargaining table),* from time to time. However, it was made easier because there was great between the parties.

Murillo Dias: - Petrobras negotiates with hundreds of companies. What do you think that was the difference in Chemtech at the time, to have that trust? What has generated such trust on the side of Chemtech?

Luiz Rubião - which I think has created trust, very objectively, was to be doing your job as the best you can, all the time, you know? It is the story: what applies to a business case like this applies to many other situations, is you look and say: -this guy I am negotiating, he is here, he is my partner, he is doing things the way correct, solving the problems that need solving, you know? So I give him a well

Murillo Dias: - attention...

Luiz Rubião - special treatment that side. Now, no way was something like favoritism or facilities, you know? The thing was questioned. Moreover, when the staff had to deny something denied. - Look, so here I will not do, because technically it is wrong here. I will not do it that way. It is not correct. Then the staff back to the drawing board *(OC: ground zero meaning).* We knew dispense a little thing to make a proper screening of subjects than would be truly moved, and then you would, ultimately, have to negotiate, understand?

Murillo Dias: - the project ended?

Luiz Rubião - after we left we did not follow much history there *(OC: he's gone and founded Radix Chemtech Engineering).* After I had left, I do not know how it was the conduct of the project. The principal at that time was you can generate the engineering documents, so you can make the competitions choose who would do the engineering work later. It was very hard work, very complicated.

Murillo Dias: - your part *(OC: Chemtech's part)* was the primary design?

Luiz Rubião - no, I was of detail, i.e. the level that you use to quote the services, and then we made to the executive project as well.

Murillo Dias: - ok. Anything else you want to add?

Luiz Rubião - no, no

Murillo Dias: - ok. Thus, we wax the first interview are 18:17 h, Thursday, October 8, 2015. Thank you.

End of interview.

APPENDIX L – Ethnographic data sample

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35065 RENNES CEDEX
FRANCE

Pesquisa Qualitativa de Doutorado - Dados cadastrais dos respondentes
Doctoral Thesis Qualitative Research Interviewee registration data

1) Nome/*Name*: Luiz Eduardo Ganem Rubião

2) Nacionalidade/*Nationality*: ☒ Brasileiro/*Brazilian*   ☐ Estrangeiro/*Foreigner*

3) Naturalidade / *Location*: Rio de Janeiro

4) Sexo/*Gender*:   ☒ Masculino/*Male*   ☐ Feminino/*Female*

5) Grupo étnico/*Ethnic group*:   ☐ Asiático/*Asiatic*   ☒ Branco/caucasiano/*White/caucasian*
☐ Negro/Africano/*Black/African*   ☐ Pardo (*only for Brazilians*)   ☐ Indio/*indigene*

6) Idade/*Age*:
☐ 20-30 anos/*years old*
☐ 31-40 anos/ *years old*
☐ 41-45 anos/ *years old*
☒ 46-50 anos/ *years old*
☐ 51-60 anos/ *years old*
☐ + de 60 anos/*years old*

7) Estado civil/*Parental status*:
☐ Solteiro/*single* ☒ Casado/*married* ☐ Divorciado/*divorced* ☐ Viuvo/*widow* ☐ Outro/*other*

8) Status de Emprego / *Employment status*:   ☒ Empregado /*employed*   ☐ Desempregado / *unemployed*

9) Educação / *Education*:
☐ Ensino Fundamental/*Fundamental*   ☐ Ensino médio/*high school*   ☐ Ensino superior/*undergraduation*
☐ Posgradualçao/*Post-graduation* ☒ Mestrado/*master degree*
☐ Doutorado/*graduation*

Doctoral Thesis Behavioral Event
Semi structured Interview
Prof. Murillo Dias
MSSITHE020 - 21

10) Renda / *Income*:
☐ R$ 5.000,00 a/*to* R$ 10.000,00   ☐ R$ 10.000,00 a/*to* R$ 20.000,00
☒ R$ 20.000,00 a/*to* R$ 40.000,00   ☐ + de/*up to* R$ 40.000,00

11) Experiência em negociações empresariais (em anos) / *Business negotiation experience (in years)*:
☐ De 5 a 10 anos *(from 5 to 10 years)*   ☐ De 10 a 20 anos *(from 10 yo 20 years)*
☒ De 21 a 30 anos *(from 21 to 30 years)*   ☐ + de 30 anos (*up to 30 years*)

12) Profissão atual / *Current profession*:   CEO

For further information contact: Dr. Murillo Dias   Phone: +55 21 98191 7474   e-mail: murillodias@superig.com.br

APPENDIX M – Interview Invitation and Consent form – Portuguese sample

Reserved use only

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FRANCE

Pesquisa Qualitativa de Doutorado - Dados cadastrais dos respondentes
Doctoral Thesis Qualitative Research Interviewee registration data

1) Nome/*Name:* Luiz Eduardo Gorem Rubião

2) Nacionalidade/*Nationality:* ☒ Brasileiro/*Brazilian* ☐ Estrangeiro/*Foreigner*

3) Naturalidade / *Location:* Rio de Janeiro

4) Sexo/*Gender:* ☒ Masculino/*Male* ☐ Feminino/*Female*

5) Grupo étnico/*Ethnic group:* ☐ Asiático/*Asiatic* ☒ Branco/caucasiano/*White/caucasian*
☐ Negro/Africano/*Black/African* ☐ Pardo (*only for Brazilians*) ☐ Índio/*indigene*

6) Idade/*Age:*
☐ 20-30 anos/*years old*
☐ 31-40 anos/ *years old*
☐ 41-45 anos/ *years old*
☒ 46-50 anos/ *years old*
☐ 51-60 anos/ *years old*
☐ + de 60 anos/*years old*

7) Estado civil/*Parental status:*
☐ Solteiro/*single* ☒ Casado/*married* ☐ Divorciado/*divorced* ☐ Viuvo/*widow* ☐ Outro/*other*

8) Status de Emprego /*Employment status:* ☒ Empregado /*employed* ☐ Desempregado / *unemployed*

9) Educação / *Education:*
☐ Ensino Fundamental/*Fundamental* ☒ Ensino médio/*high school* ☐ Ensino superior/*undergraduation*
☐ Posgradualçao/*Post-graduation* ☒ Mestrado/*master degree*
☐ Doutorado/*graduation*

10) Renda / *Income:*
☐ R$ 5.000,00 a/*to* R$ 10.000,00 ☐ R$ 10.000,00 a/*to* R$ 20.000,00
☒ R$ 20.000,00 a/*to* R$ 40.000,00 ☐ + de/*up to* R$ 40.000,00

Doctoral Thesis Behavioral Event
Semi structured Interview
Prof. Murillo Dias
MSSITHE020 - 21

11) Experiência em negociações empresariais (em anos) / *Business negotiation experience (in years):*
☐ De 5 a 10 anos *(from 5 to 10 years)* ☐ De 10 a 20 anos *(from 10 yo 20 years)*
☒ De 21 a 30 anos *(from 21 to 30 years)* ☐ + de 30 anos (*up to 30 years*)

12) Profissão atual /*Current profession:* CEO

For further information contact: Dr. Murillo Dias   Phone: +55 21 98191 7474   e-mail: murillodias@superig.com.br

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522
35065 RENNES CEDEX
FRANCE

Pesquisa Qualitativa de Doutorado - Dados cadastrais dos respondentes
Doctoral Thesis Qualitative Research Interviewee registration data

1) Nome/*Name*: Luiz Eduardo Gonem Rubião

2) Nacionalidade/*Nationality*: ☒ Brasileiro/*Brazilian*   ☐ Estrangeiro/*Foreigner*

3) Naturalidade / *Location*: Rio de Janeiro

4) Sexo/*Gender*:   ☒ Masculino/*Male*   ☐ Feminino/*Female*

5) Grupo étnico/*Ethnic group*:   ☐ Asiático/*Asiatic*   ☒ Branco/caucasiano/*White/caucasian*
   ☐ Negro/Africano/*Black/African*   ☐ Pardo (*only for Brazilians*)   ☐ Indio/*indigene*

6) Idade/*Age*:
☐ 20-30 anos/*years old*
☐ 31-40 anos/ *years old*
☐ 41-45 anos/ *years old*
☒ 46-50 anos/ *years old*
☐ 51-60 anos/ *years old*
☐ + de 60 anos/ *years old*

7) Estado civil/*Parental status*:
☐ Solteiro/*single* ☒ Casado/*married* ☐ Divorciado/*divorced* ☐ Viuvo/*widow* ☐ Outro/*other*

8) Status de Emprego /*Employment status*:   ☒ Empregado /*employed*   ☐ Desempregado / *unemployed*

9) Educação / *Education*:
☐ Ensino Fundamental/*Fundamental*   ☐ Ensino médio/*high school*   ☐ Ensino superior/*undergraduation*
☐ Posgradualçao/*Post-graduation* ☒ Mestrado/*master degree*
☐ Doutorado/*graduation*

10) Renda / *income*:
☐ R$ 5.000,00 a/*to* R$ 10.000,00   ☐ R$ 10.000,00 a/*to* R$ 20.000,00
☒ R$ 20.000,00 a/*to* R$ 40.000,00   ☐ + de/*up to* R$ 40.000,00

Doctoral Thesis Behavioral Event
Semi structured Interview
Prof. Murillo Dias
MSSITHE020 - 21

11) Experiência em negociações empresariais (em anos) / *Business negotiation experience (in years)*:
☐ De 5 a 10 anos *(from 5 to 10 years)*   ☐ De 10 a 20 anos *(from 10 yo 20 years)*
☒ De 21 a 30 anos *(from 21 to 30 years)* ☐ + de 30 anos (*up to 30 years*)

12) Profissão atual / *Current profession*:   CEO

For further information contact: Dr. Murillo Dias   Phone: +55 21 98191 7474   e-mail: murillodias@superig.com.br

APPENDIX N – Interview Invitation and Consent form – English sample

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522
35065 RENNES CEDEX
FRANCE

Subject: Invitation and Consent for Participation in Interview Research for Prof. Murillo de Oliveira Dias Doctoral Thesis

---

Dear Sir/Madam,

It is a great pleasure to invite you to participate as a volunteer at this qualitative in-depth interview regarding **The factors influencing the success of a Business Negotiation in the Brazilian Culture**, as part of the Doctoral Thesis.

Your participation is important
Participation in this interview is voluntary and may be of no direct personal benefit to you. This research is merely scientific and no commercial purposes are involved. Therefore, your privacy and information disclosure are hereby assured.

Discomfort or risks
Discomforts or risks associated with completing the in-depth qualitative interview are minimal or virtually non-existent.

Consent Declaration
I volunteer to participate in the research project conducted by Dr. Murillo de Oliveira Dias from ESC School of Business. I understand that the project is designed to gather information about academic work of faculty on campus. I will be one of approximately 20 people interviewed for this research.

Reserved use only

ESC Rennes School of

Business

2 rue Robert d'Arbrissel CS 76522

35065 RENNES CEDEX

FRANCE

Pesquisa Qualitativa de Doutorado - Dados cadastrais dos respondentes

Doctoral Thesis Qualitative Research Interviewee registration data

1) Nome/*Name*: Luiz Eduardo Gonem Rubião

2) Nacionalidade/*Nationality*: ☒ Brasileiro/*Brazilian* ☐ Estrangeiro/*Foreigner*

3) Naturalidade / *Location*: Rio de Janeiro

4) Sexo/*Gender*: ☒ Masculino/*Male* ☐ Feminino/*Female*

5) Grupo étnico/*Ethnic group*: ☐ Asiático/*Asiatic* ☒ Branco/caucasiano/*White/caucasian*
☐ Negro/Africano/*Black/African* ☐ Pardo (*only for Brazilians*) ☐ Índio/*indigene*

6) Idade/*Age*:

☐ 20-30 anos/*years old*

☐ 31-40 anos/ *years old*

☐ 41-45 anos/ *years old*

☒ 46-50 anos/ *years old*

☐ 51-60 anos/ *years old*

☐ + de 60 anos/*years old*

7) Estado civil/*Parental status*:

☐ Solteiro/*single* ☒ Casado/*married* ☐ Divorciado/*divorced* ☐ Viuvo/*widow* ☐ Outro/*other*

8) Status de Emprego /*Employment status*: ☒ Empregado /*employed* ☐ Desempregado / *unemployed*

9) Educação / *Education*:

☐ Ensino Fundamental/*Fundamental* ☐ Ensino médio/*high school* ☐ Ensino superior/*undergraduation*
☐ Posgradualçao/*Post-graduation* ☒ Mestrado/*master degree*
☐ Doutorado/*graduation*

10) Renda / *Income*:

☐ R$ 5.000,00 a/*to* R$ 10.000,00 ☐ R$ 10.000,00 a/*to* R$ 20.000,00
☒ R$ 20.000,00 a/*to* R$ 40.000,00 ☐ + de/*up to* R$ 40.000,00

Doctoral Thesis Behavioral Event
Semi structured Interview
Prof. Murillo Dias
MSSITHE020 - 21

11) Experiência em negociações empresariais (em anos) / *Business negotiation experience (in years)*:

☐ De 5 a 10 anos *(from 5 to 10 years)* ☐ De 10 a 20 anos *(from 10 yo 20 years)*
☒ De 21 a 30 anos *(from 21 to 30 years)* ☐ + de 30 anos (*up to 30 years*)

12) Profissão atual / *Current profession*: CEO

APPENDIX O – Prediction forms

ESC **ESC Rennes School of Business**

2 rue Robert d'Arbrissel CS 76522
35065 RENNES CEDEX
FRANCE

Subject: Prediction Feedback Form

Date: NOVEMBER 18TH 2015

Name: FABIANO GOMES DAS NEVES   Interview: _____

Trust in Brazilian Business Negotiations: our prediction (made with October 2015 data).

Our prediction P1:

P1: if a negotiator is compelled by circumstantial forces to negotiate with the counterpart in a Brazilian Business negotiation, then the negotiator will trust somehow the counterpart.

Explanation: There are compelling circumstances or forces in which a negotiator (trustor) is compelled to trust a counterpart (trustee), even if trustor has no previous information or about trustee's reputation, and has never negotiated with the counterpart, at least until the situation persists. Examples of these compelling circumstances are: (a) high stakes involved in a negotiation; (b) legal and normative issues and obligations; (c) business contract obligations; (d) no alternatives to a negotiated agreement (BATNA).

Your description of actual situation since then (after events narrated in the interview)…

Factors supporting the prediction (if any)

1. BUSINESS RESULTS (E.G. SALES TARGET)   4. _____

2. DUTY / BUSINESS ASSIGNMENT BY SUPERIORS   5. _____

3. CURIOSITY (TEST CONFIDENCE)

4. _____

5. _____

Factors contradicting the prediction (if any)

1. PREJUDICE

2. "TRAUMA" (FROM SIMILAR PREVIOUS NEGOTIATIONS)

3. _____

APPENDIX P – Prediction forms sample

ESC Rennes School of Business

2 rue Robert d'Arbrissel CS 76522
35065 RENNES CEDEX
FRANCE

Subject: Prediction Feedback Form

Our prediction P2:

P2: If trust is broken in a Brazilian business negotiation, then substance and relationship will be affected negatively in short and long terms.

Explanation: if trust is broken, then negotiation will probably fail. There are consequences in short term such as no deal and in long term, such as no future business. Distrust will increase and relationship and reputation will end up in rupture and destruction.

Your description of actual situation since then (after events narrated in the interview)…

Factors supporting the prediction

1. BEHAVIOR (IF YOU BEHAVE LIKE A LIAR OR A THIEF NOBODY WILL LIKE YOU)
2. REPUTATION (A BUSINESSMAN REPUTATION IS GOLD AND HAS TO BE PRESERVED AT ALL COSTS)
3.
4.
5.

For further information, please contact:
Murillo de Oliveira Dias
e-mail: murillodias@superig.com.br

Factors contradicting the prediction

1. APOLOGIES (ERROR RECOGNITION MAY IN FACT ENFORCE FUTURE RELATIONSHIP IN CERTAIN CIRCUMSTANCES)
2. LARGE BUSINESS AT STAKE (EVEN WHEN MISTRUST EXIST, IF THE BUSINESS VALUE IS TOO HIGH, NEGOTIATIONS MAY PROCEED)
3. BLAMING SOMEONE ELSE → (PROTECT YOUR OWN IMAGE OR REPUTATION BY BLAMING SOMEONE OR SOMETHING ELSE)
4.
5.

APPENDIX Q – Interviewees contacts

Interviewees contacts

#	Interviewee Name	Interviewee Code	E-mail address	Telephone number
1	Jorge Barros	MSSITHE001	Jorgemontenegrobarrosneto@gmail.com	55 (61) 8115-0100
2	Bianca Dias	MSSITHE002	bibi@radixeng.com.br	55 (21) 98879-5657
3	Murilo Alambert	MSSITHE003	alambert@uol.com.br	55 (21) 99104-7494
4	Waldo Pedrosa	MSSITHE004	waldo.pedrosa@gmail.com	55 (61) 9618 8473
5	Antonio Azevedo	MSSITHE005	acazevedo@globo.com	55 (21) 98848-0506
6	Pedro Rivas	MSSITHE006	rivasgomes@gmail.com	55 (21) 98272-6576
7	Fabiano Gomes	MSSITHE007	fabiano.n.gomes@accenture.com	55 (21) 98199-6989
8	Livia Versiani	MSSITHE008	versiani.livia@gmail.com	55 (31) 8833-8600
9	Camila Ferreira	MSSITHE009	camilaaferreira@gmail.com	55 (31) 99664-3212
10	Roberto Aylmer	MSSITHE010	aylmer@aylmer.com.br	55 (21) 99609-5031
11	Franciara Oliveira	MSSITHE011	franciara_oliveira@yahoo.com.br	55 (21) 99272-1196
12	Samuel Barros	MSSITHE012	samuel@tcapital.com.br	55 (21) 99846-1727
13	Hudson Santos	MSSITHE013	HDSNSNTS@gmail.com	55 (62) 9118-1891
14	Guilherme Hoffmann	MSSITHE014	guilherme.hoffmann@gmail.com	55 (21) 99605-5611
15	Ana Paula Motta	MSSITHE015	apmotta10@hotmail.com	55 (35) 8852-2435
16	Rodrigo Navarro	MSSITHE016	rodrigo_navarro@terra.com.br	55 (61) 9697-6450
17	Raphael Albergarias	MSSITHE017	albergarias@poli.ufrj.br	55 (21) 98009-0000
18	Marcela Castro	MSSITHE018	profamarcelacastro@gmail.com	55 (21) 99328-2090
19	Luiz Migliora	MSSITHE019	luiz.migliora@veirano.com.br	55 (21) 938244743
20	Luiz Rubião	MSSITHE020	rubiao@radixeng.com.br	55 (21) 97693-2030

Source: Dias and Delorme, 2015

APPENDIX R – Research Timeline

#	EVENT	2010	2011	2012	2013	2014	2015	2016
1	DBA Preparation: readings	████	████					
2	DBA duration			████	████	████	████	
3	Literature Review				████	████		
4	Thesis Project and Defense				████		████	
5	Chapter 1 - Introduction				████	████		
6	Chapter 2 - Lit. Review				████	████		
7	Chapter 3 - Methodology						████	
8	Field Research and Data collecting						████	
9	Chapter 4 - Findings and Analysis						████	
10	Chapter 5 - Discussion							
11	Chapter 6 - Conclusion							
12	Thesis Writing and defence				████	████	████	
13	Overall thesis	████	████	████	████	████	████	

CURRICULUM VITAE

MURILLO DE OLIVEIRA DIAS
Contacts:
murillodias@superig.com.br
skype: murillo-dias
mobile: + 55 21 9 81 91 74 74

ACADEMIC BACKGROUND

●**Doctorate in Business Administration - DBA**

ESC Rennes School of Business (France)
Concluded in 2016

●**Master in International Management – MSc**

Fundação Getulio Vargas - FGV/EBAPE
Concluded in 2008

●**MBA in Entrepreneurial Management**

Fundação Getulio Vargas - FGV/ESANNF
Concluded in 2003

●**Electronic Engineer**

Centro Federal de Educação Tecnológica - CEFET/RJ

Concluded in 1992

LANGUAGES

Portuguese - native

English - fluent

Spanish - fluent

French - fluent

Italian - advanced

German - advanced

Russian-- basic

PROFESSIONAL EXPERIENCE

2010 until today – ECOLE SUPERIEURE DE COMMERCE – RENNES, FRANÇA
● Professeur Vacataire

2009 until today - TEMPERANCE TREINAMENTO E DESENVOLVIMENTO GERENCIAL E EMPRESARIAL LTDA.
● Managing Director

2005 until today - FUNDAÇÃO GETÚLIO VARGAS – FGV /MANAGEMENT/ONLINE/CADEMP/DINT
●Professor and MBA Courses Coordinator

2013 until today - FUNDAÇÃO DOM CABRAL
●Guest Professor

2013 until today - UNIVERSIDADE FEDERAL DO RIO DE JANEIRO
●Guest Professor

1996 until 2009 - PROFIT COMÉRCIO E SERVIÇOS LTDA.

IT and Computer Business
●CEO

1993 a 1996 - FUNDAÇÃO ESTADUAL DO NORTE FLUMINENSE - FENORTE
●Administrative D-II de 1994 a 1996

●President of FENORTE Bidding Commission, in 1995.

●Member of FENORTE Bidding Commission, from 1994 to 1996.

●Administrative D-I, de 1993 a 1994.

1993 - SECRETARIA EXTRAORDINÁRIA DE PROGRAMAS ESPECIAIS

●Project Manager

1984 a 1986 - BANCO DO BRASIL S/A

●trainee

PROFESSIONAL CERTIFICATIONS

●**PMP (***Project Management Professional***) since 2005**

PMI (*Project Management Institute – USA*)

●**SAPM (***Stanford Advanced Project Manager***) Conclusion in 2016**

Stanford University (*California – USA*)

●**Myers-Briggs Type Indicator I e II since 2013**

Fellipelli São Paulo

●**Thomas DISC since 2014**

Thomas International

ACADEMIC ACTIVITIES

AWARDS

• Elected the best teacher of Negotiation courses in 2014 by FGV Management.

• First Brazilian to receive the Advanced Award Consortium on Cooperation, Conflict and Complexity (AC4) from Columbia University in 2013.

• Elected the best teacher of Negotiation courses in 2012 by FGV Direito Rio (Law School)

COURSE (CO) AUTHORSHIP

• Dias, Murillo; Valle, A. Preparation of an online course for PMP certification. Rio de Janeiro: FGV Online, 2013.

• Dias, Murillo; et. al.; MBA in Government Relations. Rio de Janeiro: FGV / EESP, 2014.

PUBLISHED ARTICLES

Dias, M., Aylmer, R., Almeida, R. and Bulegon, M. (2015). Brazilian Fashion Business Dudalina S/A: Case Revisited. *International Journal of Business and Management Studies*. Vol 04 (01); pp. 11-24.

Dias, M., Aylmer, R., Aylmer, M., Almeida, R., Bulegon, M. (2014). Dudalina S/A: Case Study on How to Overcome Succession Barriers on a Brazilian Family Business. *Business and Management Review*, Available online at http://www.businessjournalz.org/bmr, SPECIAL ISSUE – vol.4 (1), pp. 217-229.

Dias, M., Finamor, A. L., Pezzella, M. and Abdanur, K. (2014 b). Domestic Workers' Rights in Brazil: Improvement of Labor Regulation. *Humanities and Social Sciences Review*, vol. 3 (2), pp. 9-21.

Dias, M., Valle, A. and Fonseca, A., (2014 c). FIAT and Chrysler in Brazil: Anatomy of an Alliance. *International Journal of Business and Management Studies*, vol.3 (1), pp 1-13.

Dias, M., Navarro, R.; Valle, A. (2013). BMW and Brazilian Federal Government: Enhancing the Automotive Industry Regulatory Environment. *Conference of the International Journal of Arts & Sciences*, 2013, volume 6 (2), pp.551-567.

Dias, M. (2012). Two Case Studies on how to Deal Effectively with Fixed plus Factor Costs Contracts. *International Journal of Business and Management Studies*, 2012, vol.1 (3), pp. 505-515.

TRANSLATED BOOKS

1. Lempereur, A.; Colson, A. Negotiation Method. Rio de Janeiro: Atlas Press, 2009 (translated from Méthode of negotiation).

2. Arrow et al. (2011). Barreiras for conflict resolution. SP: Editora Saraiva, GVLaw series, first. Edition (translated from Barriers to Conflict Resolution).

TECHNICAL REVIEW

1. Bazerman, Max; Neale, Margaret A. (2013). Decision Making. Sao Paulo: Campus, 7th. Ed.

EDITORIAL BOARD MEMBER

• EDITORIAL BOARD MEMBER Deccan Business Review, Mumbai, India.

COURSES, INTERNATIONAL CONFERENCES AND SEMINARS

●IACM CONFERENCE: 2013, 2015, Clearwater, Florida
●IACM CONFERENCE: 2013, Tacoma, Seattle
●BIENNALE INTERNATIONALE DE NÉGOCIATION, Paris: 2010, 2012, 2014
NEGOTIATION AND LEADERSHIP - PROGRAM ON NEGOTIATION OF HARVARD LAW SCHOOL, 2009, 2010, 2011, 2012 (June and September), 2013, 2014, 2015.

● CONVERTING INTO ACTION STRATEGY - Stanford University

● NEGOTIATIONS AVEC LA COMMISSION EUROPÉENNE - ESSEC IRENE and European Commission Brussels - Belgium

● NEGOTIATE BUSINESS DEALS IN CHINA - ESSEC - Institute de la Recherche sur Négociation en Europe - Irene - PARIS - FRANCE

● CONFERENCE: Les Organisations et leurs besoins changent suite aux nouvelles relations avec leur environnement, ESSEC, Cergy Préfecture, Paris.

● INTERNATIONAL JOURNAL OF ARTS & SCIENCES (IJAS) CONFERENCE, Freiburg, Germany, 2010, 2013, 2014

● INTERNATIONAL JOURNAL OF ARTS & SCIENCES (IJAS) CONFERENCE, Vienna, 2012

● INTERNATIONAL JOURNAL OF ARTS & SCIENCES (IJAS) CONFERENCE, Munich, 2013

● INTERNATIONAL JOURNAL OF ARTS & SCIENCES (IJAS) CONFERENCE, London, 2013

● Seminair of negociations and mediation Larry Susskind - ESSEC Paris Cergy, 2011

● Mediation environnementale Conflits et de l'eau - Université de Paris SUD 11, 2011

● CROSS CULTURAL NEGOTIATIONS - UNITAR Genève, 2011

● Negotiating with German - Brazil Chamber of Commerce Germany - Konrad Adenauer Foundation

● Mediation and Arbitration - Arbitration Court of São Paulo - TASP

● Empretec SEBRAE - Apr / 2010

● Case Study Method as a learning tool - Getulio Vargas Foundation

● Balanced Scorecard - Getulio Vargas Foundation

● Communication for Teachers - Getulio Vargas Foundation, groups 13:21

● Negotiation, NLP, and Public Speaking - Technical Production Center

● 38 PMP - PMP Exam Preparation - Project Lab

● Digital Copiers: KM-1505, 1530, 2030, 4530 - Brasif Electronics

● Analog copiers: Mita DC-14x5, and in 2255 Microsoft and Novell Networks - Brasif

● Standardization and quality service - IBQN

● Reengineering and Learning Organization - Amana Key

● What is the Stock Market - BVRJ

● Technical training in Capital Markets - BVRJ;

● Fundamental and Graphic Analysis and Investments - Rio de Janeiro Stock Market Exchange

● International Finance - LCM Consulting

● Qualification as Day trader – Rio de Janeiro Stock Market Exchange