

THE
BRAZILIAN WAY
OF DOING
PUBLIC ADMINISTRATION



EDITED BY

ERIKA LISBOA
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The Brazilian Way of Doing Public Administration

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The Brazilian Way of Doing Public Administration: Brazil with an 's'

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INVESTOR IN PEOPLE

We dedicate this book to our family, our academic fellows and practitioners, and to everyone who has dedicated their lives to the endeavour of improving public administration and public policy to make Brazil a better country to live in.

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Introduction: Brazil Is Not for Beginners

*Erika Lisboa, Ricardo Corrêa Gomes
and Humberto Falcão Martins*

Antônio Carlos Brasileiro de Almeida Jobim, Tom Jobim, is an icon of our national culture, but also of universal culture. He was one of the inventors of Bossa Nova, which spread throughout the world and influenced jazz, samba, Brazilian popular music and classical music. He was at the same time an exponent of the soul of Ipanema and the exuberant nature of Brazil. He is credited with the expression ‘Brazil is not for beginners’; it is not known whether in response to [Kellemen’s book *Brazil for Beginners* \(1964\)](#).

The fact is that the phrase has been echoing for decades and invites us to ‘look at Brazil in a plural interpretation, that is, a country that cannot be labelled simplistically, and therefore, presents itself in a complex and antagonistic way, that is, singular. . . [because] the foreign gazes of beginners end up flattening the Brazilian cultural diversity by translating it as a mess, not that there is no disorder here. . .[, but the non-novice’s gaze would be] an invitation to understand the mess [from a broader perspective and tolerant of specificity]’ ([Moraes, 2014](#)).

In the thematic field of management and public policies, this tension between the universal and the parochial look appears in several ways ([Bertero et al., 2013](#)). In the gaze of Anglo-Saxon and Eurocentric, ‘universalism’ has shaped the vast majority of theories that allow us to try to explain reality and intervene in it. In the communal parish eye, it ultimately resists exogenous visions and calls for epistemic exclusivity to understand Brazil. Perhaps beginners are at these extremes who fail to capture the complexity of development processes outside the centres of colonisation of knowledge.

This is the background that inspired the spark for the organisation of this volume – without the slightest claim to advance the tension between universalism and communalism but seeking to bring elements from both perspectives from Brazilian authors with deep academic and professional involvement in their respective themes – not beginners!

The initial questioning came from Erika Lisboa when she indicated the scarcity of textbooks for the public administration area that would unite knowledge and practices for use in the classroom and monographs. Despite the abundance of articles in scientific journals and some scattered cases, professors and researchers

need to turn to foreign authors whose concepts must be adapted to suit our reality.

From this reflection also emerges the title of the book *Brazil with 's': The Brazilian Way of Doing Public Administration*. As the word *Brazil* is written with 'z' in other countries, our goal is to present peculiarities in dealing with management and public policies. We imagine that perhaps some aspects of Brazil's public administration and public policies are original adaptations or creations made for our lifestyle and our culture. However, other countries may be inspired by these practices and ways of managing and changing the reality of their countries.

The volume organisation initially emerged with a bold intention to combine public management (focussed on the management functions of public organisations) with the perspective of public policies (focussed on the treatment that public institutions seek to give to public problems). This complementarity roughly reproduces the support processes and business processes, respectively, in a public value chain. Hence the two large parts in which this volume is divided. And treating these perspectives in a complementary way is very difficult and rare – very commonly, the view of public policies loses the complementarity of the management perspective, referring to the latter's issues to implementation problems or resources; but also, very commonly, the standpoint of management reduces the dimension of public policies to strategic direction and governance.

The perspective of public management appears more segmented in essential management functions such as planning (Chapter 1); control, transparency and accountability (Chapter 2), leadership and people management (Chapter 3), budget and public finances (Chapter 4), procurement (Chapter 5) and technology (Chapter 6). But it also appears more transversally, such as partnerships (Chapter 7) and performance management (Chapter 8).

The public policy perspective appears more sectorised by substantive themes, such as social assistance (Chapter 9), education (Chapter 10), industry (Chapter 11), environment (Chapter 12), health (Chapter 13), financial inclusion (Chapter 14) and innovation (Chapter 15). But it also appears in a transversal way regarding formulation (Chapter 16), implementation (Chapter 17) and evaluation (Chapter 18).

These two perspectives complement and overlap in various forms and intensities, not only because they constitute faces of the same coin in the generation of public value but also because there are many references of one over the other and complementarities (such as the ones remarked in Chapter 19, which closes the volume). The following paragraphs give an idea of each chapter's content and main propositions.

In Chapter 1, entitled 'Public Sector Planning', Alexandre Gomide and Leandro Couto deal with the issue of government planning and its role in guiding the development of nations. The chapter discusses government planning in Brazil, especially its formal instruments established in the 1988 Federal Constitution embodied in the Multi-Year Plan (PPA) and the Budget Guidelines Laws (LDO). It also presents the trajectory of the PPA in democratic Brazil. The authors argue that the leading cause of the fragility of the plan lies in its relationship with the

annual budget, in addition to other critical issues related to national development conditions, highlighting the inability of governments to build a national consensus that exceeds the period of elective mandates. The authors argue that the functions of strategic planning, government coordination and policy implementation monitoring were scraped from the core of the federal executive branch, with a predominance of voluntarism with an inertial logic – which can be synthesised as a monotonous repetition of short- and medium-term goals with ‘plans without priorities and priorities without planning’.

In Chapter 2, ‘The Open Budget and Its Actions: The Brazilian Case’, Welles Abreu, Marcio Oliveira and Ricardo Gomes deal with transparency, participation and accountability initiatives related to public budgets, which are vital in promoting social progress and corruption control. The chapter describes the open budget and its actions focussed on the Brazilian case, acknowledged as a reference. The authors conclude that the adoption of social participation in the stages of the budget process aims to create incentives for the articulation and aggregation of citizens’ interests to provide links between the rulers and the ruled, through which collaborative stakeholders, represented by rulers and led, conduct actions that directly address social needs from open budget actions.

Chapter 3, ‘Human Resources Management in the Brazilian Public Sector’, by Evelyn Levy and Fernando Coelho, starts with a retrospective of Brazilian Public administration’s historical problems and challenges. A profile of civil servants in Brazil is presented in the sequence followed by specific issues such as leadership; civil society movements; training and development; job design and careers; compensation and personnel expenditure; performance management; evaluation and diversity. The authors claim that the profile of civil servants has become much more qualified because of meritocratic selection processes, attractive incentives (salaries, stability and social security) and the simultaneous and significant expansion of an educational and training system. Nonetheless, compared to the practices of OECD countries, HR management is only beginning to be effectively organised.

Josué Pellegrini and Felipe Salto deal in Chapter 4, ‘Public Finance in Brazil’, with the issue of public finance management so that the Union and subnational governments properly exercise their powers. The chapter analyses the distribution of tax powers and attributions between the three levels of government, presents the constitutional rules on public finances and budget and details the fiscal situation of the Union. The authors argue that a sustainable fiscal policy is not only guaranteed by the presence of fiscal rules but with political commitment. Apart from the fiscal effects of pandemic-balancing policies, Brazil’s challenge remains to control mandatory spending; collect what is necessary through a fair and neutral tax system; advance the public policy assessment agenda and spending efficiency; curb ad hoc changes in tax rules to meet conveniences and pressures of the moment; and review the budget system.

In Chapter 5, ‘The Different Shades of Public Procurement in Brazil’, Renato Fenilli addresses how Brazilian public procurement contracts are made. The chapter presents a contextualisation of public procurement practices beyond the technical-legal perspective, supporting sociological perceptions. This newly

conceived general bidding law has only begun its path from rooting to social praxis. The author posits that the new Bidding Law is not yet fully externalised. It lacks almost half a 100 infra-legal regulations, information and communication technology systems and massive jurisprudence. Its institutionalisation relies upon five vectors: the digital government, standardisation practices, innovation, centralisation of aggregated demands, and compliance to the Global Purchasing Agreement. The prognosis is slow and continuous infra-legal externalisation, objectification and internalisation.

Chapter 6, 'The Silent Reform: Digital Governance as a Strategy for State Reform in Brazil', by Fernando Filgueiras, deals with adopting digital governance as an institutional change in public administration. The chapter discusses the interplay between the institutional evolution of state and public organisations and the emergence of digital governance through its technological features. The author suggests that this process represents a silent reform of public administration in Brazil, conducted incrementally and adaptatively by government technocracy, in association with several international organisations. The silent reform also promotes a series of changes and new routines, new forms of decision-making and new patterns of interaction between governments and society with the interaction of machines. The trend is that reforms now produce the necessary institutional frameworks to build a more efficient, effective and genuinely democratic public administration.

Chapter 7, 'Public-Private Partnerships', authored by Sandro Cabral, deals with the issue of the increased participation of private actors (for-profit and not-for-profit) in the delivery of public services. The chapter presents conceptual features that justify the worldwide use of public-private arrangements with a focus on institutional and managerial aspects; focusses on the Brazilian context and provides an overview of the Brazilian experience, including political factors and the main features of the Brazilian legislation; and discusses the advances experienced in the country as well as the barriers that hamper the dissemination of PPP in the country. The chapter showed that despite the efforts to improve private participation in public services, some points of attention remain, such as actions to build improved institutions that at the same time promote competition, avoid corruption and assure that commitments made are credible. The public interest is preserved in PPP.

Chapter 8, 'Performance Management in the Brazilian Public Administration', authored by Humberto Falcão Martins, Ricardo Gomes, and Renata Vilhena, deals with the set of directions, alignments and controls that allow and induce government organisations to achieve coherent and sustainable results. The chapter develops the concept of performance management in governments, identifies performance management initiatives in the federal administration and emblematic cases in states and municipalities, and qualifies performance management practices in the Brazilian public administration. The authors argue that our performance management model has not advanced in the same internal and external complexity path, despite recent attempts and advances. There is no integrated performance management with rare exceptions due predominantly to leadership issues.

Chapter 9, ‘Social Assistance Policy in Brazil After the Federal Constitution of 1988’, authored by Natália Sátyro, Eleonora Cunha, Isabela de Vasconcelos Teixeira, and Kelly dos Santos, deals with social assistance policy. The chapter presents the main concepts that support the current Social Assistance Policy model; makes a brief review of the path of implementation of this policy from the CF-88 until the creation of SUAS in 2005; presents the main axes of structuring and functioning of the policy (its objectives and security guarantees; the social care network and the territory; the role of states, municipalities and the Union; the instances of federative articulation, participation and social control); and bring data on the current situation of the Social Assistance Policy and the challenges posed by the context. The authors argue that since its definition as a social right, a very significant normative and institutional structure was built in 30 years, giving national unity to an entirely new area in the Brazilian State. However, this entire framework has been strongly intended by institutional changes that significantly impact the implementation of the policy and, at the limit, its continuity.

Chapter 10, ‘Transformations in Brazilian Education From the COVID 19 Crisis’, by Claudia Costin, deals with the effects of COVID-19 on education systems in Brazil. The chapter addresses two relevant issues for the next 25 years: how to provide the new generations with the necessary skills for life in society, especially for work and global citizenship, and how to instil, through education, values that contribute to ensuring that their existence does not put at risk that of the current and future inhabitants of the planet. COVID-19 resulted in learning losses, especially for students from more vulnerable families and the deepening of the educational inequalities that we had experienced before the pandemic, particularly in Brazil. In this context, we are led to reflect not only on the emergencies imposed by the situation but also on what we want to build for a post-pandemic future. It is quality education that makes a more inclusive and sustainable development process.

In Chapter 11, ‘The Brazilian Contemporary Industrial Policy: Facts, Fallacies, and Controversies’, Mauro Lemos and Hamilton Ferreira Jr. deal with the embodiment of technical change in the Brazilian economy – so restricted by imports, technological transfer and local manufacturing of technologies mature at the final stage of the product cycle. The chapter presents the ongoing literature on industry and innovation policy; and an industrial-policy overview of the Brazilian current industrial policy during the 16 years of the Workers Party in the party. Although there has been a wide array of industrial policies in Brazil, the resulting pattern of low R&D spending has not been changed with diversifying connotations. In Brazil, extractive and discriminatory institutions are challenged when the choices between losers and winners are blurred, and the narrow liberty corridor predominates over patrimonialism. The authors claim that industrial policy as part of a broad welfare public policy can succeed if the Brazilian society can bring the State actions inside this narrow corridor.

In Chapter 12, ‘Environmental Perspectives in Brazil’, Fabio Feldmann and Izabella Teixeira approach Brazilian environmental policy in the so-called triple environmental crisis – climate change, biodiversity loss, environmental

degradation and pollution. The authors argue that Brazil turns to the impediment of the contemporary environmental agenda and to advance unprecedented setbacks in a tireless search to rewrite the past despite developing an enviable repertoire of public policies, exemplary legislation, serious government institutions and political spaces for civil society participation. But the most evident expression of the setbacks that the country experiences translate into the destruction of the Amazon and the dismantling of the public environmental managerial system, with the weakening of the Brazilian legislation and environmental and scientific institutions. The authors advocate that the realignment of Brazil with contemporaneity requires an ambition of change guided by two paths: (1) to contain the setbacks and (2) to establish new future-oriented development strategies that are insinuated.

In Chapter 13, 'The Healthcare System in Brazil: A Primary Care Approach', Andreza Davidian and Elize Massard address the challenges of the Public Health System in Brazil – one of the largest in the world, with 75% of the population covered by it. This chapter presents the main characteristics of the Brazilian healthcare system, describing its reform, significant institutional changes and funding; and discusses the fact that a comprehensive primary healthcare strategy has been central to strengthening the SUS, promoting its impact on access, financial protection, quality of services, system efficiency and health indicators. The authors conclude that Brazil created a well-established primary healthcare network as a vehicle for promoting health for all. However, recent budgetary constraints, ideas reactive to previous social advances, insufficient integration mechanisms and obstacles regarding human resources, and the precarious working conditions of health workers remain problems that must be addressed.

Chapter 14, 'State, Public Policies and Financial Inclusion', by Lauro Gonzalez, Erika Lisboa and Ettore Oriol, deals with the problem of financial inclusion related to microfinance and microcredit, such as the provision of financial services for the low-income population, generally excluded from the traditional financial system, through a differentiated methodology, to contribute to raising their quality of life. The chapter presents a general theoretical overview of ways of acting of the State to mitigate situations of financial exclusion; discusses income transfer programmes; details the main aspects that determine financial inclusion; exemplifies these aspects with cases that have occurred in Brazil in recent years and concludes the importance of these instruments as a way of poverty reduction and inclusion of the economically disadvantaged in the society of consumption and income.

Chapter 15, 'Public Policies in Innovation: Government Funding S&T Through a Federal Agency', authored by Cristina Castro-Lucas, Erika Lisboa, Leopoldo Gomes Muraro and Alerino Silva Filho, is about innovation – in particular, how governments shape tools to encourage companies to become more innovative and productive, with more significant potential for competition in the internal and external market. Innovation depends on qualified people to carry out scientific research. The chapter presents a case study on two programmes managed and implemented by the National Research Council (CNPq): the Universal Call and the DT Scholarship (Productivity Grant in Technological

Development and Innovative Extension). The programmes are studied based on the last years, making it possible to verify how it influences the development of science and technology in the search for innovation. The analysis results indicate that the public resources invested by the federal government in the mentioned programmes have enabled the development of innovations in various fields of knowledge.

In Chapter 16, 'Public Policy Formulation in Brazil: Experimentation of Policy Analysis to Combine Graduate Teaching, Research, and Outreach', Leonardo Secchi, Luiz Filipe Reinecke and Willian Narzetti address the issue of capacity development for public policy formulation. The chapter presents how public policy formulation can be taught in undergrad courses using policy analysis as teaching, research and outreach to solve real-world public problems. It brings the experience of the Rational Policy Analysis course of the master's degree in Administration at Santa Catarina State University (UDESC). The authors argue that the integration between teaching, research and outreach in the graduate policy analysis training can empower students, giving them a real sense of the policy environment and a valuable product for coping with real social problems.

Gabriela Lotta and Roberto Pires in Chapter 17, 'Public Policy Implementation in a Context of Extreme Inequality: Between Universalist Ambitions and Practical Selectivity', deal with policy implementation. The chapter contributes to constructing a Brazilian agenda of studies on implementation, discussing the specificities that should be considered to analyse the Brazilian case. To do this, the chapter presents an overview of the international literature on implementing policies; presents the specificities of the Brazilian context that should gain centrality in the analysis of implementation; and puts a study agenda focussed on analysing the public policy implementation, taking as a central dimension the idea of inequalities. The authors argue that, in addition to learning from applications of theories from the Global North to empirical cases in Brazil, it is necessary to extract the theoretical implications of these studies for the reconstruction of analytical frameworks more adherent to the realities faced in the implementation of policies in the country.

Paulo Jannuzzi authored Chapter 18, 'Evaluating Public Policies and Programs: An Introduction to Evaluation Concepts, Instruments and Criteria', which evaluates public policies and programmes. The chapter presents a more comprehensive definition of Evaluation as a field of knowledge-and not just as a stage of the Public Policy Cycle; proposes a structuring framework for the area, with centrality in implementation efforts, a stage in which policies and programmes 'live' most of their existence; and presents instruments that have proved helpful in several studies applied in the country. The author argues that public decisions need to be supported not only in plural and robust evidence but also – and above all – in information produced in the light of intrinsic values that guide the design and management of public policies, as inscribed in the Constitution and other normative documents.

In Chapter 19, 'Mediations in the Interaction of Public Policies With Their Implementation', Francisco Gaetani addresses how senior leaders treat themes that shape the understanding of national problems and the forwarding of

solutions to address them. The chapter addresses the problem of public policies – including its decision-making process – as it is placed in Brazil at the beginning of the second decade of the twentieth century; the ongoing transformations in the complex universe of the implementation of public policies; the size of management; the governance debate; and possible topics that require further investigation. According to the author, the worlds of preparing public policies and their implementation are not always close. They are trajectories of intense learning and interesting developments as revealed by the paths of various policy entrepreneurs. Formulation and implementation are confused and intertwined by continuous decision-making processes, redefinition of problems and solutions, incorporation of inputs derived from monitoring activities and varied evaluations. The same goes for the problem of governance. Institutional arrangements in which public policies occur cannot fail to be considered both in design and implementation – policies with the power to reconfigure their organisational environment or the relations between the institutions involved.

Two main salient issues permeate the chapters presented above: the construction of relevant models of action in the face of public problems and their implementation.

The construction of relevant models deals with the modelling of solutions for complex public problems in the various facets of social life: health, education, safety, etc. The construction of models brings the idea of design: it demands based understanding of the situation (sense-making) and the problem (or the causal structure of the problems and, prominently, of the stakeholders involved), the iterative modelling of solutions (nonlinear and incremental, therefore), the definition of forms and means of implementation, experimentation, adjustments, implementation, evaluation, adjustments and remodelling (Barzelay, 2019). It is a cycle that can and must be structured to be optimised – on a macro scale; it does not result from agents' 'natural' interaction in search of their interests or dis-tending their institutional mandates. Design is a modelling action guided by a firm intention – usually a vision, aspiration, awareness in the face of a situation or a reaction to the crisis. In this sense, the construction of models deals with models of intervention in public problems; it constitutes pure strategic action (strategising), where the strategy is not necessarily something that one has (in the field of formal plans). However, something is being done (Bryson et al., 2021). This is a way of perceiving management and public policies as imbricated in a strategic intervention/action. By way of example, said more directly, any movement in health cannot consider issues of supplies and management of people as management issues belonging to the field of 'implementation' but should consider the key issues that should be present all the time in the design of any intervention.

The pertinence of the models is something central that also appears frequently in this volume. It concerns the adequacy of the designs of the interventions to the problems they seek to deal with. And here, more than ever, it is necessary to bring the discussion of the universal and the communal. It is, therefore, the construction of models that combine the versatile with the joint in forms that recreate both in a new synthesis. Brazil has a long tradition in intellectual debate and practice, which is not always successful. To a large extent, our national construction