Panel 15 *Conditions of Sustainable Development Policy*

Title of the paper

State capacities for achieving the

Sustainable Development Goals in Brazil

Natália Massaco Koga

National School of Public Administration (ENAP) – Brazil

natalia.koga.@enap.gov.br

Marizaura Reis de Souza Camões

National School of Public Administration (ENAP) – Brazil

marizaurareis@gmail.com

State capacities for achieving the Sustainable Development Goals in Brazil

Abstract

This paper aims to contribute to the discussion on the conditions for the implementation of policies targeting the Sustainable Development Goals (SDGs). The main argument to be discussed is that distinct levels of state capacities can explain different performance on the implementation of public policies towards sustainable development. This paper depicts an analytical framework developed to test that argument in a broader investigation with the Brazilian federal administration. Moreover, this paper presents a survey tool designed for that investigation to measure individuals´ capacities and the results of a pre-test with a selected group of bureaucrats who work with poverty eradication policies.

Key words: Sustainable Development Goals, state capacity, policy analysis, Brazil, bureaucracy.

Introduction

This work argues that the state capacity literature can bring relevant contributions to the debate on the conditions for the Sustainable Development Goals (SDGs). As it will be addressed in the following pages, it sheds light to the existing or necessary state resources for implementing specific measures, in this case, for the implementation of public policies that target the SDGs.

A two-years research project was designed by the National School of Public Administration (ENAP) in order to explore the issue of the state capacities for public

policy implementation in the Brazilian federal government. A survey tool was designed to be applied, in the second semester of 2017, with a stratified sample of the approximately 600,000 federal civil servants. Moreover, secondary data are being collected and examined to examine the organizational capacities of the Brazilian federal agencies.

That broader investigation intends to examine in more depth public policies that target the SDGs. One can argue that the SDGs provide a rich set of interconnected policies to address key aspects of the state capacities behavior in a complex policy-implementation context such as the contingency of policy areas or types of policies; the relevance of time and spatial framing; and the   dynamics of interaction amongst different dimensions of capacities.

In this paper, one will discuss part of the analytical framework developed for that broader project. It will look specifically for the individual level of capacities. In other words, it will discuss the bureaucrats' capacities. Accordingly, this work will present the main aspects of the survey designed to capture the bureaucrats' capacities and will discuss the results of a pre-test carried out with a selected group of civil servants that work with policies that target the SDG1 – eradication of poverty. Besides the validation of the research tool the pre-test could also provide elements for raising additional hypothesis for the broader investigation, as it will be discussed in this paper final session. This paper is carried out in four sections. The first section is dedicated to present our state capacity analytical framework. The second part will examine the Brazilian government position regarding the SDG 1 – End poverty in all forms everywhere and will discuss possible contingencies of state capacities for this field of state action. The third part will present briefly the main aspects of the survey tool and the general

methodology for the pre-test. The forth part will debate the main pre-test results. The final session will reflect upon possible contributions of this investigation for the main research.

The analytical framework[1]

This analytical framework was formulated in order to shed light on the processes, dynamics and conditions of functioning of public administration organizations.

This work argues that the state capacity literature can contribute to debate analyze different aspects of the public administration action given to three main reasons. Firstly, it revitalizes the discussion on the role of the state which was weakened both in the Public Administration field – which had its last strong debates around the New Public Management ideas – and in the Political Science area – which was focused on studies on the transition to democracy. Secondly, the concept of state capacity bears a significant level of malleability that allows different formulations and levels of observation. That is a highly relevant advantage for the analysis of complex contexts such as the one in which public administration organizations are embedded. Finally, one believes that the state capacity approach can produce inputs not only to improve the work of public servants and organizations but also to build dialogue with the medium range literature.

The first works on state capacity were produced looking at the resources for the states constitution and preservation. In that context, capabilities such as tax collection, law enforcement, and maintenance of order and other manifestations of state coercive power were the types of aspects examined by this literature (Pires e Gomide, 2015; Cingolani, 2013).

---

[1] A comprehensive depiction of the framework elaboration is made in the paper Camões et al. (2017) which will be also presented at the IPPC3.

In the last decades, this literature starts to look at the importance of state action from a different perspective, the developmental one. Several studies have been produced looking at relevance and conditions of state´s action for countries development (Pires e Gomide, 2015; Cingolani, 2013). Other concepts related to the state action, such as the capability of industrialization promotion, infrastructure development, political interaction, among others were incorporated to this literature, sometimes dialoguing with other contemporary debates such as the ones on governance or quality of government (Pires e Gomide, 2015; Cingolani, 2013).

Probably the main criticism addressed to this literature resides exactly on the problems of an exacerbated use of the concept 'state capacity'. One the one hand, this flexibility is attractive to this work as mentioned before. On the other hand, it brings the challenge of making strong and clear choices so not to fall in analytical problems such as the circularity of the model (Cingolani, 2013) or the overlapping of concepts (Mazzuca, 2012).

Acknowledging this criticism, this work starts with a simple definition of state capacity and proposes an operational analytical framework to capture it. Capacity in this paper refers to the collection of resources derived from professional bureaucracy for public policy implementation and this framework was developed in order to identify these existing capacities.

It is worth noting that the state capacity approach adopted in this model differs from the studies that explore the theme from issues directly related to the performance of states in economic development. However, they are not contradictory paths insofar as it is possible to explore conceptual nexuses, variables and research hypotheses that

allow one to examine how the construction of the bureaucratic structures of the states affects the performance of public policies and the administrative activities of the states. In this sense, the construction of state capacities seems to be crucially linked to the creation of professionalized bureaucracies that, in different configurations, represent the political-institutional substrate of public administration given to their responsibility for the implementation of government decisions (Cingolani, 2014: 36). The studies produced by Evans *et al*. (1985) suggest multiple possible outcomes which are discussed through medium-range approaches to understand the role of bureaucratic structures in state performance. Moreover, it explores the embeddedness and technical-political relationships existing between bureaucracy, governments and society.

The approach developed in this work is close to the research developed by Wu et al. (2015), which proposes to gather information – by means of surveys and countries case studies - on the profile and perceptions of public servants to understand the existing state capacities in public administration bodies. Wu *et al.*´s (2015) model considers not only organizations internal dynamics but also their interactions with other public organizations and with the external environment.

Even though Enap´s broader investigation intends to examine these three levels as well (individual, organizational and systemic), this paper focuses only on the individual level of observation of state capacity. In other words, this work will look exclusively at resources internalized in the personnel of public administration organizations. That is, individuals assimilated and developed knowledge, skills and attitudes that are expressions of the accumulation of capacities.

As shown in Figure 1, four dimensions of capacities were defined in this framework: analytical, managerial, internal coordination and political. Additionally, this framework

conceives autonomy as an intervening factor or variable in the construction and maintenance of state capabilities.

Capacity dimensions can be grouped into two macro dimensions, respectively, administrative and relational, considering their nature and dynamics. The administrative dimensions refer, predominantly, to the capacities accumulated and operationalized in the structures and processes that conform the organizations of the public administration. Relational dimensions, in turn, refer to capabilities that are constructed in a crucial way, through interactions established internally and externally to the public administration, involving bureaucrats themselves, politicians, representatives of society and other actors.

Figure 1 – Dimensions of State capacity

		Dimensions	Purpose	Description	Sources of observation
Autonomy - Conditions that guarantee the implementation of policies protected from particularistic interests	Administrative	Analytical	Efficiency and Efficacy	Conditions that guarantee technical and administrative performance	Data collection and analysis Specific technical knowledge
		Managerial			Managerial skills Financial resources allocation Human resources Norms and regulations Technological resources
	Relational	Internal coordination	Agency	Conditions that guarantee regular functioning and internal coherence	Coordinated decision-making process Inter and intraorganizational structure Monitoring and control
		Political	Legitimacy	Conditions that promote necessary interlocution	Social control and accountability Social participations instances

				with the external environment	Levels of negotiation and interlocution between the Executive and the Legislative and Judiciary powers Relationship with International organizations

Source: Authors´elaboration

The administrative capacity is conceived as the dimension of resources and ways that allow the operational functioning of public administration internal apparatus. It is capable thus to affect the level of efficiency of public administration organizations.

Some works that debate this dimension in the state capacity literature. Thus, assumes as a fundamental resource for state´s action the existence of a professional bureaucracy selected based on merit and working under impartial and pre-defined procedures. However, other works suggest that, despite the relevance of Weber´s elaborations, other aspects determine bureaucrats' action (Evans and Rauch,1999).

Therefore, this model aggregates under this dimension not only the main features of personnel or the normative order, but also aspects that are also considered determinants for the public administration internal functioning such as budgeting and informational and technological resources.

Additionally, the framework proposes two other dimensions of state capacities: internal coordination and political. They are differentiated from the administrative dimension given to their relational nature. While the administrative dimension deals with more tangible, unilateral and stable resources, the relational capacities require the interaction between entities to be produced.

Taking this into consideration, it is worth noting that the basic distinction between the two relational dimensions resides on the entity with whom the interaction is established.

The internal coordination dimension relates to the capability of dialogue, negotiation and organization between different individuals or organizations within public administration. This includes not only coordination within the same agency but also between agencies in the same level of government or in different levels of government. Therefore, this dimension discusses issues such as federalism, collective mechanisms of decision-making, inter-sector projects, among others. The field of incidence is believed to be in the level of agency of individuals and public organizations.

The political dimension, in turn, looks at the interaction of the public administration structure with the external environment such as civil society, private sector, external auditing agencies, Legislative and Judiciary powers and international organizations. Studies that recognize this dimension incorporate contemporary discussions from the literature of governance and studies of democracy, recognizing in this sense the relations of power in the political environment and the legitimacy conditions (Pires and Gomide, 2014; Repetto, 2004). This dimension recognizes that the power of public policy implementation does not come only from the accumulation of internal resources but also from the interaction with veto and validation entities of power, such as the ones abovementioned.

While the dimensions in which capacity become evident can be observed as accumulations of resources and expression of the state powers in action, autonomy appears in the form of the fulfillment of requirements and of intensities or scales, in relation to which it is possible to gauge the performance of the state in its relationship

with society. For this investigation, autonomy is not a cumulative capacity, but a condition or requirement that is, to a certain degree, indispensable to ensure the satisfactory performance of state activities, service delivery and the implementation of its policies, so that it can be preserved against their capture by particularistic interests of society or by the bureaucracy itself.

Acknowledging the definition of each of the four dimensions, one moved towards the detail of observable variables for each of these dimensions for the individual level[2]. Figure 2, in Annex 1, describes all these variables which, in their turn, were the basis for the survey design.

Sustainable development goal 1 – End poverty in all its forms everywhere

Taking into consideration Brazil's engagement and, in some debates, prominence in the definitions for the Sustainable Development Goals (SDGs), this investigation seeks to look at the country's internal conditions for facing the 2030 Agenda challenges, more specifically towards the Sustainable development goal 1 – End poverty in all its forms everywhere[3].

---

[2] The same was made for the organizational and systemic level. A detailed depiction of the observable variables for these other two level can be found in Camões et al. (2017).

[3] SDGs 1 targets are the following:

1.1 By 2030, eradicate extreme poverty for all people everywhere, currently measured as people living on less than $1.25 a day

1.2 By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions

1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

1.5 By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters

1.a Ensure significant mobilization of resources from a variety of sources, including through enhanced development cooperation, in order to provide adequate and predictable means for developing countries, in particular least developed countries, to implement programmes and policies to end poverty in all its dimensions

One of the Brazilian government guidelines towards the SDGs is the recognition of poverty eradication as the priority to face the other SDGs. End poverty in all its forms is considered as the main current global challenge. The transforming potential of the SDGs lies on the combination between universality and differentiation. This means that SDGs while having a global nature must also take into account countries characteristics and singularities in their implementation. (Brazil, 2014).

Differently from the Millennium Development Goals (MDGs) that set out sectorial goals, the 2030 Agenda recognizes the strategic relevance of multi-sectorial and integrated measures (Brazil, 2014). In this sense, partnerships with the private sector are understood as complementary elements to the intergovernmental effort. Moreover, civil society engagement is conceived as strategic for the SDGs implementation. Broadening institutional channels of debate between state and civil society on the country´s sustainable development is crucial for defining and monitoring SDGs´ implementation (Brazil, 2014).

Notwithstanding the importance of the external conditions for the Brazilian government to coordinate the SDGs´ implementation, this investigation aims to contribute to the debate on the conditions of the Brazilian state to carry out the necessary measures to face 2030 Agenda, looking more specifically to the context of the actions related to the Goal 1.

As argue by Paes-Souza and Jannuzzi (2016),

> the Brazil has effectively used its internal experience to shape its international message in relation to SDGs. Revising its internal policies, similarly, in the light of

---

1.b Create sound policy frameworks at the national, regional and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions

its international discourse, can help Brazil to anticipate possible pathways towards an updated development objective for the eradication of all forms of poverty compatible with the next phase of its public policy agenda. (p. 13)

Paes-Souza and Jannuzzi (2016) discuss the main conceptual/analytical approaches to poverty and provide an extensive analysis of the more recent results in the field in Brazil. In fact, extreme poverty, defined only by monetary means as population with per capita income between U$ 1.25 to 2.50, was eradicated in Brazil in the last years. The authors argue that the country´s social initiatives, particularly the Bolsa Família Program and the Plano Brasil sem Miséria, had impacted significantly to that result.

However, despite of the apparently success regarding the fight against extreme poverty, Brazil still faces serious challenges. As argued by Paes-Souza and Jannuzzi (2016), it is necessary to conceive a more comprehensive view of poverty that recognizes not only the monetary aspect of poverty, but also other dimensions of individuals´ lives such as access to good quality of education, health, housing, public transportation and other services. According to the authors, this comprehensive and integrated view of the problem, "is required for pushing this new policy thrust toward a more advanced and effective sustainable human development model anchored in social protection" (p.12).

In fact, other studies already point out that the need to integrate policies would be an essential condition to fight and reduce poverty. For Bronzo (2007), it is quite evident that poverty reduction policies are part of the social problems that require intersectoral action, since the poverty vision is not restricted to the lack of resources / income, but is associated with the lack of education and adequate health care, as well as the difficulty of access to more effective conditions of inclusion in the productive cycles. Hence, it is a process that involves other aspects, political, cultural and social, that go well beyond

the economic ones. Similarly, for Moreno (2007), social problems are 'cross-cutting issues', which know no territorial, functional or administrative boundaries, so that their causes and effects are interrelated or mutually determined.

The intersectoral capability expresses the need for a complete and integrated solution of complex problems. It is quite evident that, for this type of solution to occur, it is necessary to work together among government agencies. This is a prerequisite for intersectoral capability to exist. Cunill-Grau (2014) notes that to achieve policies with a high degree of integration, the formulation and execution of decisions must be made in conjunction with the government sectors involved. This integration must go beyond the existence of spaces and established bodies so that the various actors involved can negotiate and build common perspectives on the problems to be faced and / or reduce possible conflicts. It is necessary to go beyond and make changes in the organizational structures, constituting what the author calls "mancomunidade", with networking and sharing responsibilities, of human and budgetary resources, and finally actions.

Specific spaces of international discussions on the challenges for the SDGs implementation are pointing out necessary improvements in states´ conditions in different fields, such as in monitoring and evaluation capabilities (e.g. to maintain trustable databases, to develop specific trainings so to guarantee the due interpretation of results, to integrate evaluation methodology between countries to follow common indicators and avoid duplication of efforts, among others), or in states´ internal project management procedures to be better articulated with the donor international agencies ones, or in its relationship with civil society (e.g. establish closer ties with civil society to improve SDGs evaluation) (Alvarenga, 2015).

Looking at this discussion, one can argue that basically all dimensions of capacities are necessary for the Brazilian bureaucracy to work on measures that target poverty eradication. Not only internal coordination or analytical skills, for instance, are required, but also administrative capabilities to carry out its internal functions and political capabilities are also necessary.

Taking this into consideration, this paper intends to discuss the following: <u>what are the existing arrangement of capacities in the Brazilian federal bureaucracy involved projects, programs and policies that seek to contribute to the country´s poverty eradication?[4] Is there a prominence of one dimension in opposition to others? What sort of capacities are the most necessary for the SDG1 accomplishment?</u>

Methodology

As abovementioned, this present investigation uses a survey tool developed for a broader investigation to capture different dimensions of individual´s capacities. One may notice that the instrument´s design had a significant influence of Wu et al.´s (2015) instrument and analytical framework of policy capacity. However, the instrument was substantially modified for two reasons. The first one was to give emphasis to the induvial level of capacities and to reflect the Brazilian reality of public policy implementation. Some important clarifications must be made so to explain the specificities of our instrument.

a) Public policy is not a common language for the Brazilian bureaucracy. Therefore, the following minimum definition was given to the respondent: "For this investigation, **public policy is understood as the set of decisions, programs and**

---

[4] The main hypothesis for Enap´s broad investigation is that distinct policy areas have different set of capacities. However, for this paper, this discussion will not be able due its more methodological purpose and limited source of data.

governmental actions, carried out by the Public Administration, in order to sort out public interest problems."

b) This investigation starts with the assumption that there are very few specialized areas or units in public policy formally constituted in the federal public organizations[5]. Some distinction is made between what is called "SPOAs" (Secretariats of Planning and Administration that exist in basically all Ministries to deal with the organization resources management) and the "finalistic secretariats" (secretariats that work on the specific fields of policy of each ministry). The survey was designed considering the servants allocated in the "finalistic secretariats" but it was also thought to be broad enough to capture the resources management areas´ perception of their eventual contribution to the policy implementation.

c) Moreover, professionals that work with policy implementation in the Brazilian federal government do not only deal with specific policy implementation tasks and responsibilities, such as data collection or policy analysis and formulation. There are other sorts of roles that are usually played by the federal bureaucracy in Brazil, even in the finalistic secretariats. The first one to be considered related to the Brazilian federalism system that gives to the local level the main responsibility for policy implementation in the street-level. This means that federal bureaucrats are rarely involved in direct policy delivery but play an important role of articulating and negotiating with the local level bureaucracy to

---

[5] One of the few cases was in the Ministry of Social Development that created an area which was dedicated to monitor and assess the ministry´s programs, specially the Bolsa Família Program.

make the federal policies implemented. The second reason is related to the Brazilian´s bureaucracy highly regulated environment that makes norms, laws and legal contracts usual instruments of policy implementation. Acknowledging this context, <u>one of our hypotheses is that the bureaucracy dedicated to policy implementation, on the one hand, should not deal in a great extent with service deliver and, on the other hand, should be more involved with relational and normative and procedural activities in order to make viable the necessary conditions for federal policy implementation.</u>

The survey instrument

The survey design took all the above-mentioned aspects into consideration so to equalize the Brazilian specificities and to make possible to capture the interest aspects for our research questions and hypothesis.

The survey structure has the following 7 sections:

Figure 3 – Survey´s sections

Section	Purpose
1 – Professional and sociodemographic profile	To detect the main sociodemographic characteristics of the respondents and the professional trajectory regarding area of public policy, carrier and levels of working responsibility
2 – Your work	To identify respondent´s main roles and tasks
3 – Auto-evaluation (knowledge and skills)	To map level of individual´s knowledge and tasks related that can configure the dimensions of individual´s capacities
4 – Your sources of information	To identify resources for relational individual capacities
5 - Autonomy	To identify level of individual discretionary and autonomy in the working environment
6 – Your organization	To identify respondents' perception on the organizational set of capacities
7 – The external environment	To collect individual´s perceptions of the policy external environment

Source: own elaboration

This paper will examine the result of the pre-test for Sections 1 to 7 which correspond to the questions related to the individual level.

The pre-test sample

A pre-test of this instrument was applied in May 2017[6] to a group of 34 civil servants allocated in different federal organizations responsible for federal social programs that used the Single Registry for Social Programs (Single Registry) for defining their beneficiaries. Some of the main organizations represented were the Ministry of Social and Agrarian Development - more than 50% of the respondents –, the National Institute of Colonization and Agrarian Reform Institute (INCRA) – around 12% of the respondents – and other organizations such as the Ministry of Cities, the Secretariat of Government and the Brazilian Institute of Geography and Statistics – IBGE.

This investigation argue that this sample configure an adequate representation of the average bureaucrat involved in the implementation of the public policy for poverty eradication.

Firstly, all respondents were involved with social programs that uses the Single Registry and thus with problems that target the Brazilian low-income population[7]. The Singly Registry for Social Program is one of the main strategic policy implementation tool of the Brazilian social policy. Besides the provision of data of the more than 80 million of low-income families in Brazil, the Single Registry has also the institutional role of promoting the integration of all federal social programs. It is mandatory for all federal

---

[6] It was applied in the 1st Meeting of the Network of Social Programs users of the Single Registry for Social Programs. It was self-applied in a paper format. The final version to the larger group of Brazilian federal services intends to be also self-applied but in an electronic version.

[7] Low-income families are defined by the Single Registry as ¼ of minimum salary per capita or 3 minimum salaries per family

social programs to use Single Registry in order to define their beneficiaries. Moreover, some programs use these data for monitoring and evaluation purposes as well.

Secondly, in a former study, it was identified around 30 federal programs which use the Single Registry (Direito et. al, 2016). The 34 respondents represent 14 of these programs (such as the Bolsa Família program, Agrarian Reform program, Continued Provision Benefit (BPC), National Rural Technical Assistance Programme, Young ID, social assistance services, Food Distribution for Specific Population Groups (ADA), among others). Despite of not starting from an aleatory sample, one may argue that for the pre-test purpose there was a relative representative of different areas and types of programs implementation to allow the following analysis.

Results

The first question of the survey had the main purpose of capturing the perception of individuals on the main roles that they play in the policy implementation. It had also the aim of identifying the group that is not involved primarily with policy implementation – thus, the ones who chose "Resources management (budget, personnel, technological, patrimonial, etc.) (A11)" and "Public service delivery, direct customer service (A12)" as their main roles.

Table 1 below shows the answers for the question: "Please select the three main roles that you play in the policy" (select 1 for the first option, select 2 for the second option and select 3 for the third option). Taking into consideration the 30 valid responses, Colum 1 shows the number of selections for each alternative as the first option, Colum 2 as the second option and Colum 3 as the third option. Colum "Total" shows the number of times that each option was selected in any of the three options.

Table 1 - Responses to the question: "Select the three main roles that you play in the policy"
(select 1 for the first option, select 2 for the second option and select 3 for the third option)

Answer	Selection 1	Selection 2	Selection 3	TOTAL	Total Percentage
Management and monitoring of actions, projects and programs related to public policy (A3)	9	11	2	22	24,44
Formulation and definition of public policy guidelines, objectives and strategies (A2)	6	3	5	14	15,56
Intra and inter-governmental coordination (between secretariats of the same ministry and other federal organizations) (A6)	2	4	2	8	8,89
Policy instruments and tools implementation (ex.: regulation, oversight, contracts, cooperation, etc.) (A4)	3	2	2	7	7,78
Relationship with civil society (participation in public policy councils, conferences, relationship with policy stakeholders) (A8)	0	3	4	7	7,78
Assisting decision-makers/organization leaders(A10)	3	1	3	7	7,78
Evaluation, research, data and data production that inform the implementation and revision of the public policy (A5)	3	0	3	6	6,67
Relationship with other actors external to the Public Administration (e.g. media, Legislative and Judiciary Powers, auditing agencies, international organizations, etc.) (A9)	0	2	4	6	6,67
Public service delivery, direct customer service (A12)	2	1	2	5	5,56
Inter-federative coordination and negotiation (amongst federal, state and municipal governments) (A7)	2	1	1	4	4,44

|					
Resources management (budget, personnel, technological, patrimonial, etc.) (A11)	0	1	2	3	3,33
Outras (A13)	0	1	0	1	1,11
Total	30	30	30	**90**	**100**

Source: own elaboration

Graphs 1 and 2 give a clearer picture of the distribution of the selected options in

Colum 1 and the Colum Total.

Graph 1 – Percentage of options selected as the <u>first option</u> for the question: To select the three main roles that you play in the policy"
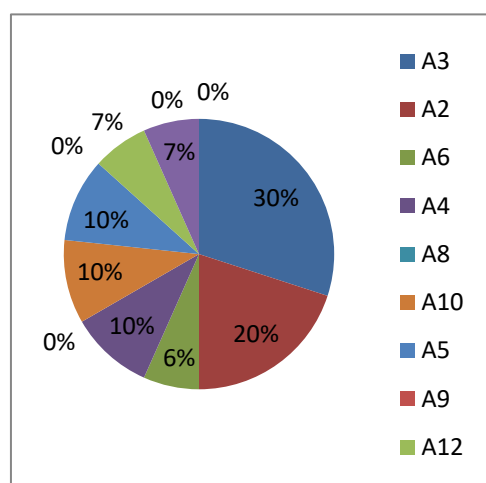
Source: own elaboration

Graph 2 – Percentage of options selected as <u>the first, second or third option</u> for the question: To select the three main roles that you play in the policy"
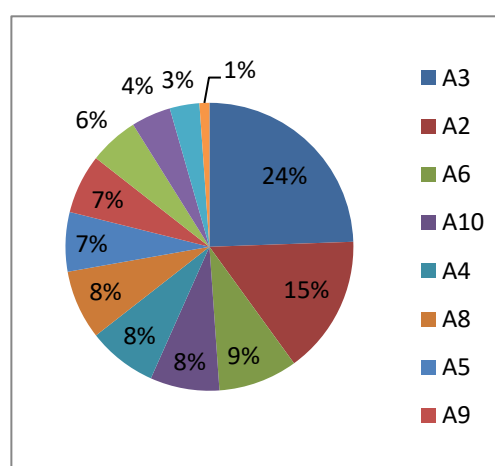
Source: own elaboration

It is worth noting that the four first options that received more selections in both cases were options conceived by the instrument as one related to policy implementation roles: "Management and monitoring of actions, projects and programs related to public policy (A3)", "Formulation and definition of public policy guidelines, objectives and strategies (A2)", "Intra and inter-governmental coordination (between secretariats of the same ministry and other federal organizations) (A6)" and "Policy instruments and

tools implementation (ex.: regulation, oversight activities, contracts, cooperation, etc.) (A4)". On the other hand, the less selected options were "Resources management (budget, personnel, technological, patrimonial, etc.) (A11)", Public service delivery, direct customer service (A12)" and "Inter-federative coordination and negotiation (amongst federal, state and municipal governments) (A7)".

These results allow one to argue that the aim of distinguishing the group that is not primarily involved with policy implementation was accomplished by the survey design since a minimum number of the respondents selected options A11 and A12.

However, the results also brought an interesting data for the discussion of our analytical framework regarding the few selections of option A7 that depicts the expected inter-federative role of this group.

In other words, our hypothesis that this group of civil servants engaged in social policies would have a more relational role is supported by this data only for the case of interactions within agencies of the federal government and not for inter-federative interactions or interactions with other external entities such as civil society, Legislative and Judiciary Powers and media.

Another important aspect to be noticed was that the option "Evaluation, research, data and data production that inform the implementation and revision of the public policy (A5)" which was selected by less than 7% of the respondents as their main role. This may confirm our assumption that analytical police capacities are not developed or not recognized as an essential role in policy implementation.

When one looks to Table 2 that shows the types of tasks in which the respondents dedicate more time in their work, additional analysis can be made.

Table 2 – Answers to Question 2 – How often do you carry out the following activities?

Q2 How often do you carry out the following activities in your current work?	Never	Rarely	Frequently	Always	No response
To elaborate reports, working projects and other information for the decision-making process (A1)	1	4	18	6	1
To operationalize databases and informational systems that support policy implementation (A2)	2	6	14	7	1
To negotiate and to coordinate initiatives with other governmental agencies that implement public policies, either in federal, state and municipal agencies (A3)	6	4	11	6	3
To participate in working groups or common projects with other areas of the ministry (A4)	3	7	13	4	3
To carry out administrative activities, such as to arrange meetings, procedural processes, ticket flights purchase, internal documents elaboration, among others (A5)	7	6	12	3	2
To consult or to receive interest parts of the society on questions that involves the public policy (A6)	6	8	8	5	3
To represent your organization in events, meetings and external meeting, including with media (A7)	2	12	11	2	3
To manage and to oversee contracts (A8)	14	3	8	2	3
To answer auditing agencies demands (A9)	7	11	8	1	3
To organize events (A10)	10	9	8	0	3
To coordinate teams and to manage conflict (A11)	13	8	2	5	2
To oversee the fulfillment of public policy norms and regulations (A12)	14	6	7	0	3
To elaborate normative texts (such as law proposals and decrees) (A13)	8	14	5	1	2
To manage and to oversee partnership instruments (A14)	16	6	4	1	3
To prospect financial resources to support policy projects and programs (A15)	21	5	1	1	2

Source: own elaboration

Graph 3 below shows same data in a simplified form, showing first the options which

received more responses of "always" and "frequently".

Graph 3 – How often respondents are engaged in each type of activity
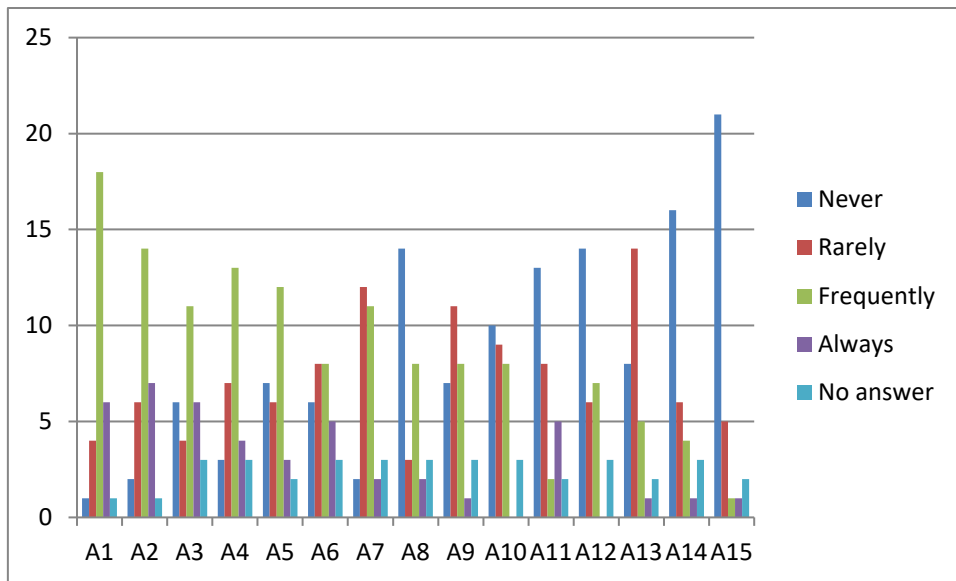
Source: own elaboration

Table 2 and Graph 3 above show that, in fact, the activities which are always or more frequently undertaken by most of the respondents are in fact related to policy implementation: "To elaborate reports, working projects and other information for the decision-making process (A1)" and "To operationalize databases and informational systems that support policy implementation (A2)". One can notice as well that very few respondents said that they were not involved in these two types of activities whatsoever.

Moreover, intergovernmental relational tasks were also highly pointed out, such as: "To negotiate and to coordinate initiatives with other governmental agencies that implement public policies, either in federal, state or municipal agencies (A3)" and "To participate in working groups or common projects with other areas of the ministry (A4)". However, political-relational activities (such as A6, A7 and A14) were not highly ranked. Looking this data in combination with results of Question 1, two considerations can be made. The first one is related to the survey format, one may consider that would be interesting to separate tasks regarding federal agencies internal coordination and inter-

federative coordination so to confirm the lower involvement of the federal bureaucrats to the relationship with local level bureaucrats. The current form of item Q3 mixes the two levels of interactions. The second consideration though relies on the analytical realm of our research. The lower selections of political-relational tasks, as in Question 1, leads one to understand that in that group of bureaucrats of social policies, political capacities are not in a higher presence, as the literature should expect. In fact, it justifies further investigations to explore, for instance, whether is the case that political capacities are low in the whole federal bureaucracy, and whether, in comparison with other policy sectors, social bureaucrats would in fact rank higher, and in which degree.

Another interesting result is that, despite of the fact that tasks that relate to norms and contracts production were low ranked, differently from what was expected, one must call attention to the fact that the option "To carry out administrative activities, such as to arrange meetings, procedural processes, ticket flights purchase, internal documents elaboration, among others (A5)" was the fifth most selected as always or frequently undertaken. That fact still raises question on the level of bureaucratization of Brazilian agencies. What sort of administrative capacities are being demanded to the civil servants dedicated to policy implementation?

In general, one may argue that results on Question 1 match in some level to the ones on Question 2. In other words, this may mean that the tasks in which most of the respondents were involved are in general tasks related to the main existing roles.

On regard to the section related to the individual´s own knowledge and skills assessment, three questions were posed to the respondents[8]. The first one
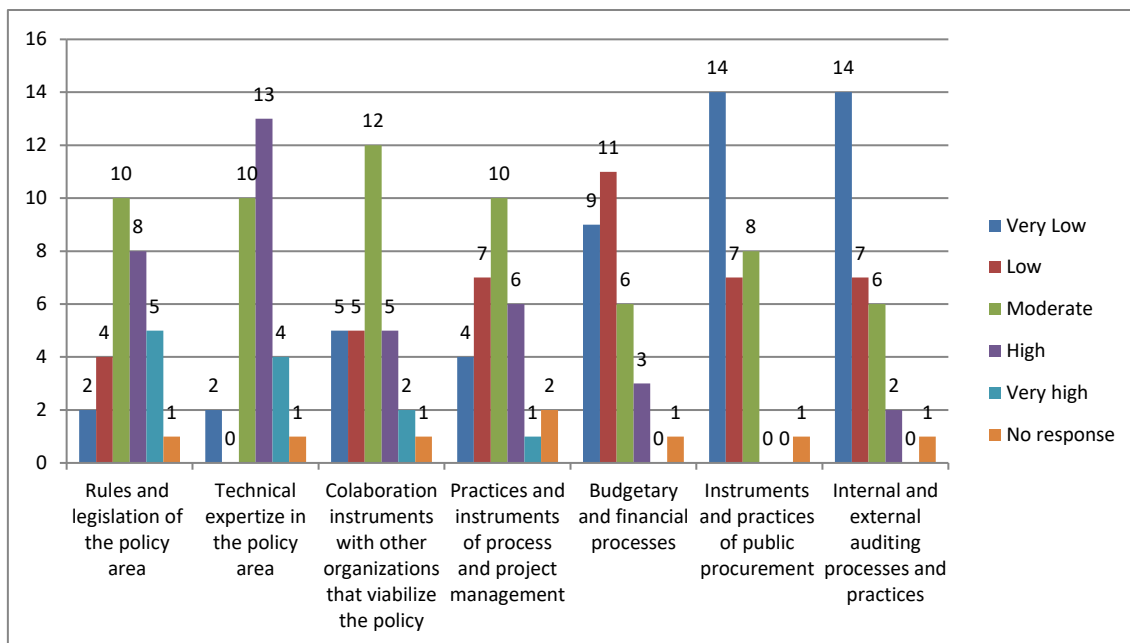
---

[8] As it is detailed in Camões et al. (2017), our analytical framework uses the literature on competences from the strategic personnel management in order to identify the types of individual capacities. Competences, in this view, are combinations of individual´s knowledge, skills and attitudes towards a

concentrated different types of knowledge, that in our framework were more related to the administrative dimension (analytical and managerial) of capacities. The second and the third questions regarded mainly on skills concerning the relational dimensions of capacities.

Graph 4 shows the types of knowledge that ranked higher to the left and that ranked lower to the right. Most part of the respondents assess that they have a very high or high knowledge on issues related to the specific policy in which they are engaged on. On the contrary, the lowest levels of knowledge were selected for more managerial types of knowledges. The distribution of answers leads one to conclude that the options provide significant variability to maintain all of them. Regarding the content of the answers, it can indicate a higher level of analytical administrative capacity in contrast with lower administrative managerial capacities in this sample of respondents.

Graph 4 – Level of knowledge (analytical and managerial)

---

particular aim that, in the context of policy capacities discussion, would be the effective implementation of public policies. Knowledge, in this sense, is understood as the set of information assimilated and accumulated by the individual throughout his life that allows her to "understand the world" (Durand, 2000). Cadency of information integration to individual´s preexistent scheme of though affects individuals´ behavior and judgement (Kalil, 2005). Skill regards to the aspect of making intentional use of knowledge in order to change a specific situation or to face a problem (Durand, 2000). It is the individual attribute of knowing how to do. And, finally, attitude refers to social and affective aspects that arouse individual's motive to do something. This dimension assumes that sentiments and emotions towards other people, subjects or events are relevant for defining individual's preferences and predispositions (Kalil, 2005).

Graph: Level of administrative skills by category (Very Low, Low, Moderate, High, Very high, No response)

| Category	Very Low	Low	Moderate	High	Very high	No response
Rules and legislation of the policy area	2	4	10	8	5	1
Technical expertize in the policy area	2	0	10	13	4	1
Colaboration instruments with other organizations that viabilize the policy	5	5	12	5	2	1
Practices and instruments of process and project management	4	7	10	6	1	2
Budgetary and financial processes	9	11	6	3	0	1
Instruments and practices of public procurement	14	7	8	0	0	1
Internal and external auditing processes and practices	14	7	6	2	0	1

Source: own elaboration

Graph 5 below shows the level of administrative skills[9]. In the bottom lie the main tasks that the respondents answered that are capable to perform easily or with some effort and, on the top, are the options that they considered more difficult to perform.

---

[9] For definition of skill see note 8.

Graph 5 – Level of analytical and managerial skills
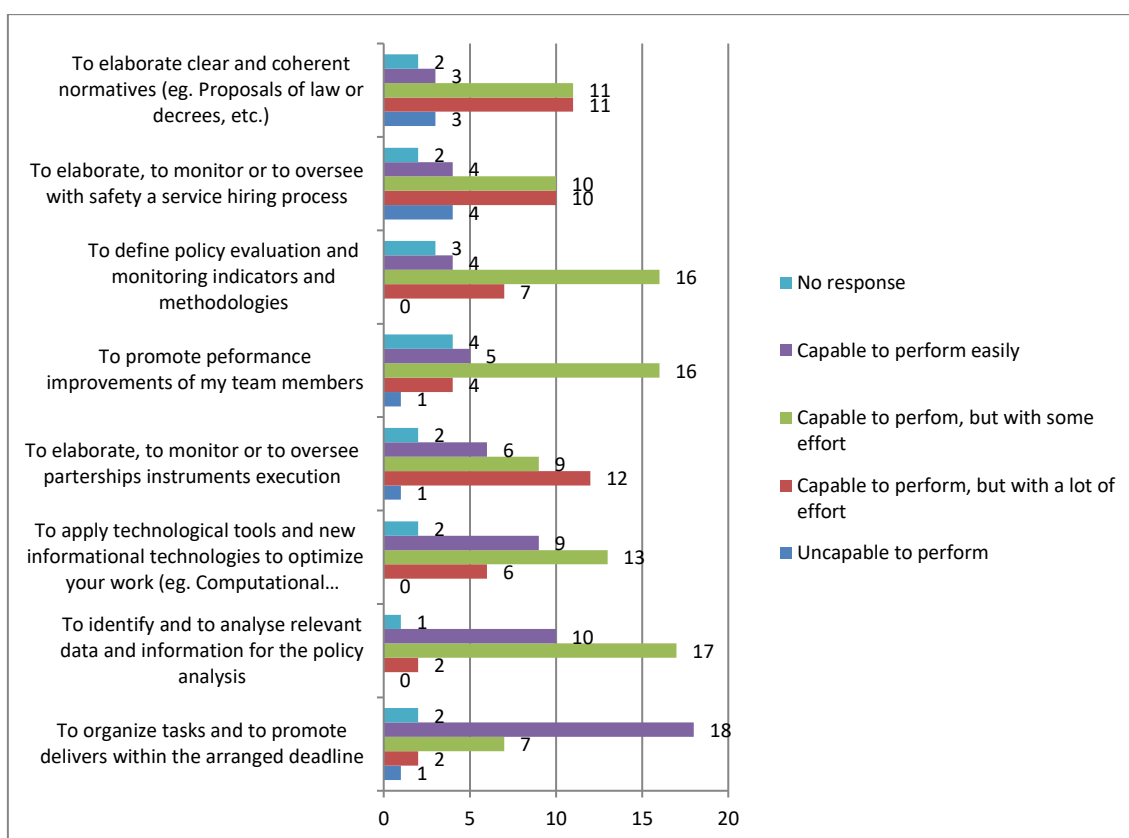
Source: own elaboration

It is interesting to notice that even though in former question, most of the respondents answered that they have a high or very high knowledge on the policy legislation and rules, very few answered that they have the skill of elaborating a coherent and clear normative.

Data in Graph 5 also seems to show that the respondents have some analytical skills for working with data and computational resources. However, one may assume that the analytical capacity is not in its highest level when one considers that few respondents feel that have the necessary skill for proposing police monitoring or assessing indicators. The answers variability of responses in all item lead us one to believe that is relevant to keep all of them in the survey final design, though option "uncappable to perform" can be evaluate as necessary or not given to the very few cases in which was used.

Graph 6 below shows the results regarding the relational skills. As in graph 5, in the bottom lie the main tasks that the respondents answered that are capable to perform easily or with some effort and on the top, are the options that they considered more difficult to perform.

Graph 6 – Level of relational skills
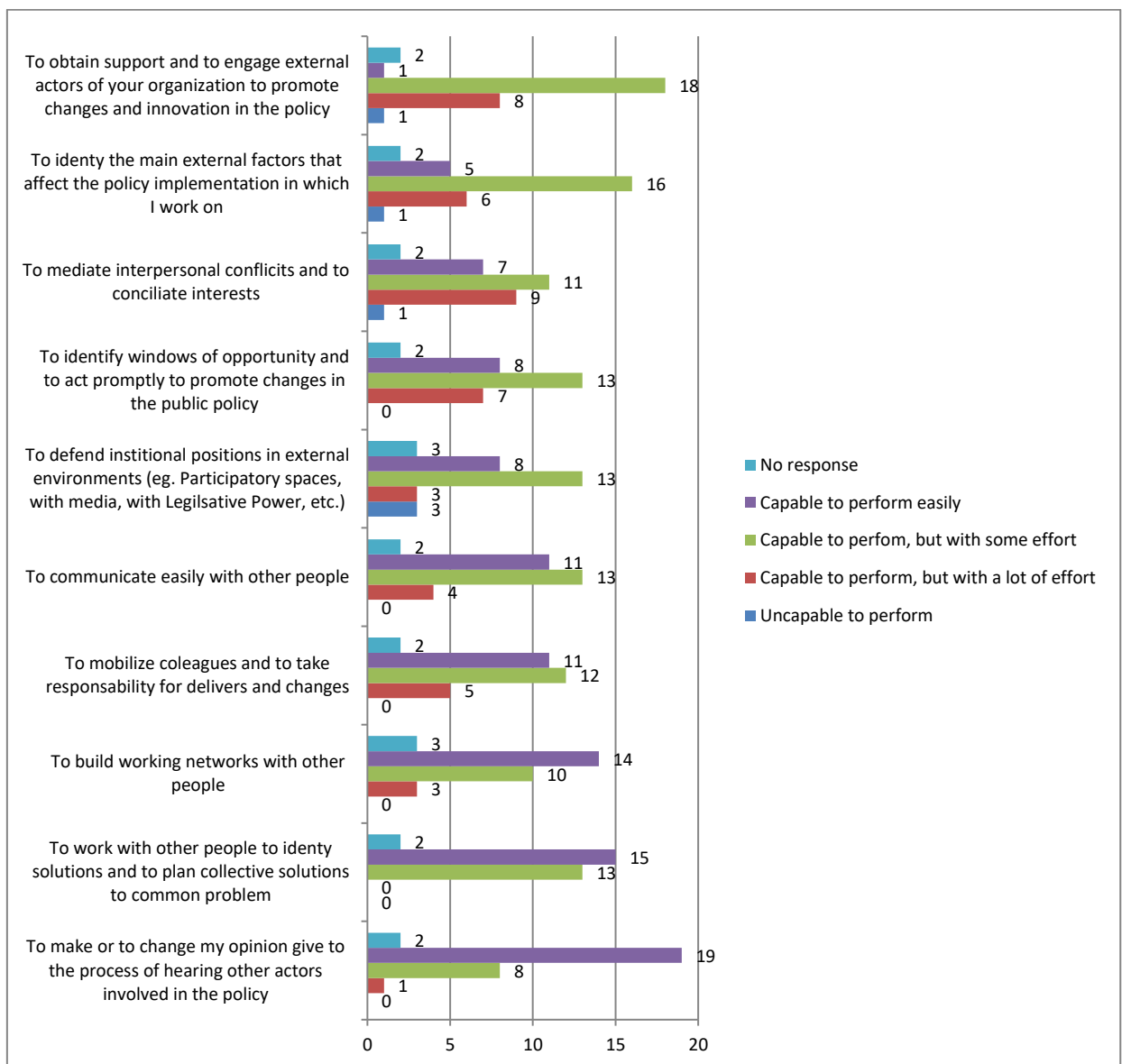
Source: own elaboration

Data seems to point out that respondents feel confident to perform relational initiatives that involve particularly their closer working environment. However, it seems that when

skills related to the interaction or perception of the external environment is demanded, few of them consider themselves capable to perform. This result is consistent to the evaluation of the results on Questions 1 and 2.

Regarding the question format, the last item of Graph 6 may not be a relevant option given to the fact that basically all respondents understood that they were able to perform easily. And in this case the exclusion of the option "unable to perform" should be seriously considered given to its nearly absence of selections.

Table 3 below shows the types of informational resources which are accessed more frequently by the respondents.

Table 3 – How often do you use the following informational resources in your work?

Q6. How often do you use the following informational resources in your work?	Never	Rarely	Frequently	Always	No response
Survey and statistical data	5	6	10	7	2
Programme monitoring data (e.g. programme expenditure)	3	6	12	7	2
International organizations opinions	8	8	6	6	2
Internal assessment of programmes results	4	6	12	5	3
Expert opinion (academic, think tanks and consultants)	3	13	8	4	2
Social media or social network	9	8	7	4	2
Governamental documents (e.g. reports and planning documents)	3	10	12	3	2
Participatory instances recommendations or decisions (e.g. public policy councils, conferences, etc.)	5	11	9	3	2
Policy beneficiaries opinions and experiences	4	11	10	3	2
Internal auditing recomendations and decions	4	9	13	2	2
Interest groups-provided information (e.g. industry, non-governmental organizati	9	8	9	2	2
Traditional media (e.g. newspaper, magazines articles, etc.)	6	8	12	2	2
Legal opinions	4	12	10	1	3

Source: own elaboration

It is interesting to notice that most of the sources are used by most of the 30 respondents at least rarely. "Survey and statistical data" and "program monitoring data" are the options which were ranked as always or frequently more time. This makes sense if one looks at sources for public policy implementation. However, calls attention the fact that "social media or social network" (9), "interest groups-provide information"(9) and "international organizations opinions (8)" were pointed out as the options that were never used by the highest number of respondents. That may mean that official internal

data are considered more relevant for respondents performing their tasks, making the government internal interactional environment more influential than external sources. This can be interpreted as having some implication for this group of respondents´ level of coordination and political capacities.

Graph 6 below that shows the frequency of interaction with different types of organizations points out to the same direction. The more frequent interactions (always and frequently) are notice with governmental organizations (other ministries, other units of the same ministry, states and municipalities). And a high number of respondents answered that they have no interaction whatsoever with private organizations and other countries. Relationship with civil society and participatory instances were in the intermediary positions.

Graph 6 – Frequency of interaction with other organizations

Graph shows horizontal bar chart titled with legend: No response, Always, Frequently, Rarely, Never

Data by category:

Other countries´governments: 2, 0, 2, 12, 14

Labor unions and representative entities of employers…: 2, 0, 2, 5, 21

[Entidades do sistema sindical patronal ou serviços…: 2, 0, 2, 5, 21

Representatives from the private sector: 2, 0, 1, 8, 19

Representatives of the Legislative Power: 3, 0, 0, 11, 16

International organizations: 2, 1, 5, 10, 12

Universities and educational insitutes: 2, 1, 10, 9, 8

Media: 2, 1, 4, 9, 14

Civil society organizations (e.g. NGOs, associations,…: 2, 1, 9, 14, 4

Controlling and auditing agencies (e.g. CGU and TCU): 3, 1, 4, 11, 11

Representatives of the Judiciary Power: 3, 1, 2, 13, 11

Research institutes: 2, 8, 10, 8

Participaty instances (e.g. public policy councils,…: 2, 2, 12, 8, 6

Individual citizens: 2, 3, 4, 12, 9

Semi-public organization and public utility company: 2, 3, 7, 15

Municipalities: 2, 5, 12, 8, 3

States: 2, 6, 11, 5, 6

Other units of my ministry: 2, 10, 11, 6, 1

Other ministries and agencies in the federal…: 2, 11, 10, 6, 1

Source: own elaboration

Finally, Graph 7 shows responses to the questions related to bureaucrats' autonomy.

Graph 7 – Levels of autonomy
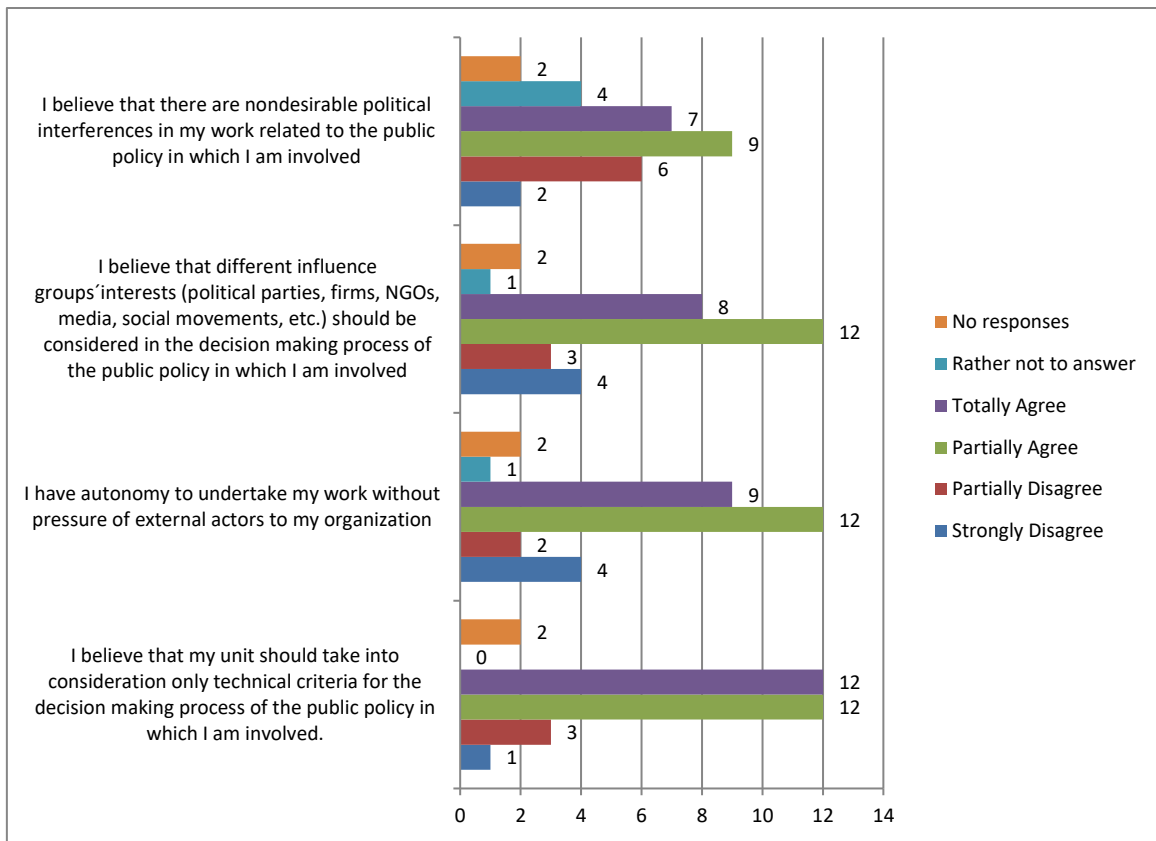
Source: own elaboration

All questions have more likely to agree responses than disagreement ones. It seems thus that most of the respondents have a relative autonomy for performing their work. Most of them as well agree in some level that both technical criteria and stakeholders' interests should be taken into consideration in the decision-making process. However, a significant number of respondents also agree as well that there are nondesirable political interferences in their work.

Although the observable expected variance, for the pre-test purposes, one must call attention to the fact that some respondents assessed the first question on Graph 7 as a sensitive question when they selected "rather not to answer".

 Final Considerations

This investigation aimed to contribute to the debate on the conditions of SDGs implementation. By means of a framework that applies the analytical-key of state

capacities, this work intended to cover different dimensions of the state action that could be assessed in that debate. Besides the methodological results related to survey tool improvement, preliminary results of the pre-test raise relevant questions when one examines the context of the SDG1 in Brazil. Despite of the high expectations towards federal bureaucrats in performing articulation and analytical roles necessary to face these complex and multifaced challenge, results demonstrate, firstly, that precisely these two dimensions do not see to be the ones of the greatest performance or even conditions amongst the Brazilian investigation. Though this investigation looked to a rather restricted sample of the intended universe, results certainly shed light to the relevance of deeper investigations to examine the effects of the complexity of the Brazilian bureaucracy to the implementation of sustainable policies.

References

Alvarenga, A. C. Sores, A.R and Nogueira, L. M. C (2014). A Conferência NEC 2015 em Bangkok: Fortalecendo as Capacidades Nacionais de Avaliação e Alcançando os Objetivos de Desenvolvimento Sustentável. IPC/PNUD. Available in: http://www.ipc-undp.org/pub/port/OP299PT_Conferencia_NEC_2015_Fortalecendo_as_Capacidades_Nacionais_de_Avaliacao_e_Alcancando_os_Objetivos_de_Desenvolvimento_Sustentavel.pdf

Brasil. (2014) Negociações da Agenda de Desenvolvimento Pós-2015: elementos orientadores da posição brasileira. Available in: http://www.itamaraty.gov.br/images/ed_desenvsust/ODS-pos-bras.pdf

BRONZO, C. Intersetorialidade como princípio e prática nas políticas públicas: reflexões a partir do tema do enfrentamento da pobreza. In: X Concurso del Clad sobre Reforma del Estado y Modernización de la Administración Pública. Caracas, 2007.

Camões, M. Koga, N. and Fernandes, C. (2017). State capacities and public policy implementation: a proposal for an integrated framework of analysis. *In mimeo*

CUNILL-GRAU, Nuria. La intersectorialidad en las nuevas políticas sociales: Un acercamiento analítico-conceptual. Gestión y política pública, v. 23, n. 1, p. 5-46, 2014.

DIREITO, D., Koga, N. M., Licio, E. C. & Chaves, J. C de P. N. O Cadastro Único como instrumento de articulação de políticas sócias. International Policy Centre for Inclusive Growth. Working paper número 145, 2016. [online] Disponível em: http://www.ipcundp.org/pub/port/WP145PT_Cadastro_Unico_como_instrumento_de_articulacao.pdf

MORENO, O M. C. Transversalidad y coordinación de las políticas de estado en el federalismo. In: X Concurso del Clad sobre Reforma del Estado y Modernización de la Administración Pública. Caracas: CLAD, 2007.

Cingolani, Luciana (2013) "The state of state capacity: a review of concepts, evidence and measures", Maastricht University – UNU-Merit [Working Paper Series on Institutions and Economic Growth, 13].

Evans, Peter (1995), Embedded Autonomy: States and Industrial Transformation. Princeton: Princeton University Press.

Evans, P. B.; Rueschemayer, D. and Skocpol, T. (ed) (1985), Bringing the State Back in. Cambridge: Cambridge University Press.

Mazzuca, S.L. (2012) "Legitimidad, Autonomía y Capacidad: Conceptualizando (una vez más) los poderes del Estado", Revista de Ciencia Política (32)3: 545 – 560.

Paes-Souza, R. and Jannuzzi, P. M. (2016) "Going beyond the eradication of extreme poverty: debating the Sustainable Development Goals in Brazil". In: Cimadamore, Alberto, Gabriele Koehler, and Thomas Pogge, eds. Poverty and the Millennium Development Goals: A critical look forward. Zed Books Ltd.

Pires, R. R. C. and Gomide, A. A. (2015) "Variações setoriais em arranjos de implementação de programas federais", Revista do Serviço Público 66 (2): 195-226.

_____ (2016) "Governança e capacidades estatais: uma análise comparativa de programas federais", Revista de Sociologia e Política 24 (58): 121-143.

Repetto, Fabián (2004) "Capacidad Estatal: requisito para el mejoramiento de la política social en América Latina". Banco Interamericano de Desarrollo.

Wu, X.; Ramesh, M.; Howlett, M. (2015) "Policy capacity: a conceptual framework for understanding policy competences and capabilities". Policy and Society 34: 165–171.

Figure 2 – Types of individual resources				
Administrative-Analytical	**Administrative-Technical**	**Relational – Coordination**	**Relational – Political**	**Autonomy**
Individual – Administrative Analytical (IAA) 1. Technical knowledge on the public policy 2. Knowledge on policy instruments 3. Knowledge on normative and legal tools and systems of the policy field 4. Research skills and data analysis	*Individual – Administrative managerial (IAM)* 1. Knowledge on management tools and strategies 2. Knowledge on resources management (personnel, technology and budgeting) 3. Managerial skills 4. Planning and organizational skills	*Individual – Coordination (IC)* 1. Leadership (to define courses, to motivate people and to take responsibility for deliver and changes) 2. Managerial skills 3. Negotiation skills 4. Planning and organization skills 5. Interpersonal influence 6. Communicational skills 7. Conflict management skills 8. Interpersonal network formation skills	*Individual – Political (IP)* 1. Scenario analysis skill 2. Institutional networking formation skills 3. Interpersonal influence 4. Communicational skills 5. Conflict resolution and consensus building skills 9. Interpersonal network formation skills 6. Negotiation skills 7. Democratic values sharing (tolerance, equality promotion, etc.) 8. Recognition of others actors relevance for policy implementation in a democratic context	*Individual – Autonomy (IA)* 1. Level of commitment with the public policy 2. Problem identification skills 3. Attitude towards solving solutions 4. Relational networks with other relevant actors to the public policy 5. Values such as ethic, transparency, public spirit 6. To recognize and to differentiate the role of politicians and the bureaucracy 7. Level of preservation towards harassment, inadequate political interference, traffic of influence and corruption attempts

Source: own elaboration