

(Virtual) T02P13 / Public administration paradigms and policy analysis traditions in Latin American and Southern European countries.

Topic : T02 / COMPARATIVE PUBLIC POLICY

Chair : Leonardo Secchi (Universidade do Estado de Santa Catarina)

Second Chair : Sandra Firmino (University of Lisbon - School of Social and Political Sciences, Centre for Public Administration and Public Policies)

Third Chair : Cibeles Franzese (Fundação Getúlio Vargas)

GENERAL OBJECTIVES, RESEARCH QUESTIONS AND SCIENTIFIC RELEVANCE

Public Administration Paradigms (PAP) refer to the body of doctrines and justifications that support the exercise of public management and the relationship between State and Society, including bureaucratic, new public management, and new public governance models. The objective of the panel is to study PAP and the models of public policy analysis, which apply to the decision of how PAP is practiced in Southern European and Latin American countries.

Over the last years, administrative reforms in national / federal public administrations and changes in policy making styles have been marked by international pressure to promote institutional isomorphism and mimicry. On the other hand, evidence has shown that not always countries choose to follow the same international tendencies in their administrative reform styles. Formal (i.e. Statutes, rules, formal organizational structures) and informal attributes (organizational culture, values, political-administrative conventions) in each political-administrative system seem to act as a barrier to the diffusion of public administration paradigms.

In this panel, the adopted theoretical reference is the new historical and sociological institutionalism (Di Maggio & Powell, 1991; March & Olsen, 1992; Pierson, 2000; Thelen, 1999), as well as policy diffusion and policy transfer theories (Benson & Jordan, 2011; Dolowitz & Marsh, 2000, 2012; Marsh & Sharman, 2009).

In this vein, it is assumed that the adoption of Public Administration Paradigms and Policy Analysis Models are reflections of pressures imposed by normative force, imitation / isomorphism, with great risk of deadlock by the predominant organizational culture and the existence of a gap between organizational culture and organizational structure (Kuhlmann & Wollmann, 2014). Comparatively, considering that Southern European and Latin-American countries share several cultural attributes and Ibero-American have the same historical heritage, the problem acquires new meaning and relevance, especially considering the scarcity of empirical studies on these countries.

Adopting a comparative perspective on public administration and public policymaking (Geva-May et al., 2018; Walle & Brans, 2018), the panel proposes the following research question: how have formal and informal institutions facilitated or hindered the adoption of public administration paradigms in Southern European and Latin American countries? What are the prevalent public policy analysis models exercised? The two underlying hypotheses are: 1) Among the Latin American countries there is a discursive convergence of Reform / Modernization of Public Administration Paradigms and Policy Analysis Models guided by external factors (funding agencies and International Organisations such as World Bank, OECD, and the European Union); 2) Among Latin American countries there is stronger administrative persistence (resistance to change) because of institutional reasons (cultural, legal, path dependence), while in Southern Europe there is larger adoption of new administrative and policymaking paradigms by induction, coercion, imitation and normative force by the European Union.

CALL FOR PAPERS

We welcome theoretical and empirical papers with a comparative perspective of regional or single country studies in Latin America and Southern Europe. The following topics are of special interest: public administration models/paradigms, public management reforms, public policy analysis traditions (rationalist vs. argumentative policy analysis), policy design, participation, deliberation, policy diffusion, analysis of the influence institutional factors on public administration and policy formulation.

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Session 1 Afternoon session, virtual, "Institutionalism, behavioral science, and policy analysis"

Tuesday, July 6th 16:30 to 18:30 (Virtual 22)

(Virtual) Explaining Divergent Community Forestry Trajectories in Costa Rica, Mexico, and Peru: A Historical Institutionalist Account

Michaela Foster (Yale University)

Benjamin Cashore (National University of Singapore)

Combating widespread deforestation is a primary concern for environmental, sustainability, and public policy scholars and policy practitioners. Community Forest Management (CFM), which involves local peoples and stakeholders in the management of forests, has been touted as a leading model of forest governance that acts as a triple win for the environment, society, and the economy. A growing body of research has amassed that aims to understand the ways in which CFM institutions emerge and might be designed to champion forest conservation as well as enfranchise forest-dependent peoples. Despite considerable study of CFM, a larger puzzle has been given comparatively little attention: what explains highly divergent forms and extent of CFM approaches within tropical countries? In particular, why have some countries reserved the majority of forest land under some type of CFM designation, while others have designated only modest amounts? And, why do some CFM institutions provide for significant decision-making autonomy among local forest dependent peoples, while others require oversight from higher level authorities? We utilize a historical institutionalist approach using process tracing methodology to examine the development of CFM institutions in three Latin American countries: Costa Rica, Mexico, and Peru. We argue that without examining the national contexts and histories in which CFM arrangements emerge and become embedded, our understanding of these institutions and their effects will remain incomplete. We introduce a new framework that identifies Jurisdictional Authority, Land Ownership, and Leasing & Licensing Regulations as three factors inherent in every iteration of CFM and show how policy decisions regarding each factor create path-dependent effects that ultimately produce unique CFM institutions across cases. We find that the distinct historical trajectories in each case stem from critical junctures that trigger enduring institutional logics and ultimately explain the variation in form and extent of CFM models adopted by each state. By closely examining the institutional factors at play, we establish the value added of the historical institutionalist approach to the environmental studies and public policy literatures. By demonstrating how path-dependent processes over time have shaped institutions governing forest resources, our findings have implications for policy design and can inform how actors might efficiently and effectively structure efforts engaging community forest management.

(Virtual) INSTITUTIONAL ISOMORPHISM AND REGIONAL PUBLIC POLICY AGENDA - LESSONS FROM EUROPE TO BRAZIL

Lucilélia Colombo (Universidade Federal de Alagoas)

This study aims to analyze the experience of public policies for regional development carried out by four countries: Portugal, Spain, Italy and France, from the 1950s to the 1990s and how these experiences can offer important data for the Brazilian reality. We emphasize the institutions responsible for conducting such policies and how the European governmental agenda has changed over time, looking for similarities and differences between them in this process. In addition, we analyze especially the decision-making process of

each of these countries, prioritizing their organizational structures, comparing with experiences developed in the Brazilian case, especially with regional development institutions such as Sudene, Sudam and Sudeco. Methodologically, we rely on this research in the evaluation reports of the European Commission and the Ministries and Secretariats of the selected countries, as well as official government documents.

Our theoretical approach is based on an institutional literature that prioritizes the capacity of institutions to define choices, which have mechanisms for implementation and decision (North, 1990). From the assumptions developed by this author, and also from the works developed by Di Maggio and Powell (2005), especially the concept of institutional isomorphism, it is possible to understand that in different circumstances the institutions adopt similar behavior, generating capacity for the policies produced in different contexts they also resemble each other.

Preliminarily, we can conclude that institutional isomorphism is the explanatory element for the changes that have occurred in some regional development institutions in Portugal, Spain, Italy and France. To this end, three aspects are verified in all cases: 1) The countries selected in this work found different motivations for the creation of regional development institutions, which changed significantly after joining the European Economic Community (EEC) and, subsequently, to the European Union (EU). 2) After entering the European Union, a supra-state bloc, the countries highlighted in this work acquired the capacity for institutional isomorphism, conforming to the Bloc's requirements and protocols and rules, concomitant with the fact that they changed the paradigm of governmental interventions in regional development policies produced internally. In this sense, we can highlight that the decision-making process of regional public policies was substantially changed after joining the European Union. 3) The Brazil, unlike these selected countries, has a tradition in regional institutions, but because it is not related to any substantive economic bloc, it still finds it difficult to direct regional policies in a planned way. What is verified is that these are linked to the federal budget pieces, especially to the Pluriannual Plans.

(Virtual) THE APPLICATION OF BEHAVIORAL SCIENCES IN BRAZIL: INSIGHTS FROM THE PUBLIC SECTOR INNOVATION LABORATORIES (PSIL)

Beatriz Ribeiro (Universidade Estadual de Campinas)

Milene de Oliveira (Universidade Estadual de Campinas)

Juliana Leite (University of Campinas)

The advances in behavioral sciences in the last decade had a great impact on the innovation and modernization of Public Administration around the world. This occurs because this field of study incorporates the use of psychology in the analysis of decision making and proposes the design of alternatives by individuals or the State itself, which act as "architects of choices" through the use of nudges - resources that propose positive reinforcement and indirect suggestions as ways to influence the behavior and decision-making of groups or individuals.

World Bank (2018) and the OECD (2017) are international institutions that support and foster the use of behavioral sciences in Public Administration. Consequently, it is possible to verify its application in the areas of education, taxation, and health – including applications in the context of the COVID-19 pandemic (KAPPES; BOLTON; KÖBIS, 2019; KRPAN; 2020).

In Brazil, as in other Latin American countries, the use of this approach in public policies is a recent phenomenon and, consequently, there is still a lack of scientific production on the subject (ÁVILA; BIANCHI, 2015). Hence, a study on the application of behavioral sciences in the public policies of Latin American countries is opportune.

In these terms, the present analysis in Brazil focuses on understanding the role of the Public Sector Innovation Laboratories (PSIL) in the dissemination of the behavioral sciences (AFIF ET AL, 2018), giving the importance of the PSIL in the innovation and modernization strategy of Brazilian Public Administration (SANO, 2020).

To examine this phenomenon the methodology was divided into three parts: (a) bibliographic research on government modernization, innovation, and application of behavioral sciences (AFIF, Z. et al, 2018); (b) documentary research on the landscape of Brazil's PSIL in different spheres of power – municipal, state and national – and areas – health, education, justice, among others; and lastly a (c) survey research with the Brazilian PSIL focus in characterizing the use of behavioral sciences in these organizations.

As a partial result of the research, among the 70 PSIL of the sample, 13 (18.6%) PSIL answered so far and 5 of them stated the use of behavioral sciences in the areas of human resources, public services, legal proceedings, and education. Furthermore, it is important to highlight that most of the PSILs are responsible for applying behavioral sciences in Brazilian Public Administration at the federal level.

At the end of the research, the following results are expected: (a) the number of the PSIL behavioral science projects; (b) details of the experiments carried out by the PSIL; (c) behavioral sciences projects areas; (d)

details regarding the behavioral sciences projects assessment; and (e) the extent to which user perspective is considered in the experiments. In the final analysis, it is expected to answer if the application of behavioral sciences contributes to the modernization and innovation strategy in the Brazilian Public Administration.

(Virtual) Would access to information and open government data be new paradigms for Public Administration? A comparative analysis between Brazil and Spain.

Murilo Borsio Bataglia (Universidade de Brasília)

Ana Claudia Farranha (Universidade de Brasília)

This paper verifies the relationship between New Public Administration Paradigms and the right of access to information. Therefore, these are the question: could the right of access to information, through new technologies such as open data, be considered a new paradigm in Public Administration? Can open data be a new paradigm? To seek to answer such questions, it is done an institutional context analysis (LEJANO, 2012; CALMON; COSTA, 2013; BATAGLIA; FARRANHA, 2019), considering aspects of the Brazilian scenario since 2019. In it, the federal government was elected with a speech to dry the public machinery, reduce bureaucracy, make several reforms and modernizations, demanding results. Such behavior translates, for example, in the creation of a federal department of bureaucracy, and in investments in the provision of digital services (EBC, 2021). In other words, it is clear that the relationship between State and Society has become increasingly digitalized, and the management model at first would approach managerialism, with elements of the economic-financial discourse (PAULA, 2015), and also that of digital governance (FILGUEIRAS, 2019). With that, it also asks: can this new agenda influence subnational governments? It is in this scenario of reforms for the use of new technologies, added to the information debate that the theme of open government data is inserted. (BATAGLIA; FARRANHA, 2020). It is intended, from this Brazilian reality, to make a comparative analysis between the current context of Brazil, focusing on the Federal District, and Spain, focusing on Barcelona. The choice of Spain is justified in view of its insertion in the European Union's digital strategy. In this comparison, in turn, some categories of analysis present in the research "The Federal District and digital governance: technologies and information" (UnB / FAP-DF) - access to information, open data, digital governance apply. This is an exploratory and comparative research carried out between subnational governments in Brazil and Spain. It uses a literature review on "digital governance", "access to information" and "open data". In addition, the research maps internal and international standards, plans, and policies on technology and information, focused on open data. It is believed that the digital strategies adopted by such governments indicate a new paradigm. As for open data, which are part of this digitalization context, they would be a potential means of reformulating the relationship between State and Society, because at a time when democracies seem to crumble, open data, properly appropriated by society, may have the potential to circumvent the use of information as an element of surveillance and create new procedures for participation in democracies. Therefore, in the future, they could be characterized as a new paradigm of public management, as long as they are useful and accessible to people, and not just to a select group of individuals.

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Session 2 Afternoon session, virtual, "Public Administration Paradigms and Traditions in Ibero-America"

Friday, July 9th 14:00 to 16:00 (Virtual 22)

(Virtual) A COMPARATIVE ANALYSIS OF PERFORMANCE IN CHANGE MANAGEMENT IN NATIONAL STATES: A CASE STUDY FOCUSED ON RESILIENCE IN LATIN AMERICA AND SOUTHERN EUROPE

JUREMA LUZIA PEREIRA (Belo Horizonte City Hall - Minas Gerais - Brazil)

PRESENTATION

The article, under the approach of the Public Administration Paradigms (Philosophy of Public Administration) of the New Public Management and the New Public Governance / State Network, specified in the Comparative Public Administration (CPA) and having as sources the stock of international data on the constructs components of indicators of National States involved in the managerial reforms they promote, will analyze the results of measuring the "materialization / absorption" of the referred paradigms in the public structure. A comparison of historical performance will be made considering the changes made by some countries in Latin America and Southern Europe, focusing on the metrics of these indicators. The multiple cases were divided by economic blocs or regional integration system: (Mexico: North American Free Trade Agreement); Puerto Rico; Costa Rica and Panama: Central American Integration System); Brazil, Argentina, Chile, Uruguay, Colombia, Peru and Venezuela: Common Market in South America) and Southern Europe (Spain and Portugal: European Union). The period evaluated will be the years 2006-2007 (base 2005), 2009-2010 (base 2008) and 2017-2018 (base 2016), justified by the availability of data from the source. The methodological criteria will be the performance of the constructs over time, for each country, individually and between the Latin American and European groups (Spain and Portugal), with absolute / vertical and relative / horizontal analysis.

CONTEXT

The research proposal is synergistic with the professional and academic experience in the international area contextualized to the learning of policies in countries in South America and Central America: the author is a Public Administrator in Brazil; worked in project management for Latin American and European cooperation networks; as coordinator of the thematic network of cities at the Summit of the Common Market of South America (CMSA); and training in the public sector aimed at governmental and non-governmental entities for the elaboration of international technical and financial cooperation projects; participated in the pilot training project of the Ministry of Foreign Affairs of Brazil focused on the CMSA; former Independent Consultant of the Inter-American Development Bank in the area of project financing; and finishes a doctorate at the government school in Central American countries, of the Central American Integration System. Currently, she works on training projects contextualized to performance evaluation, for the improvement of public management; and public integrity, risk management and compliance.

HYPOTHESES

In the sample to be investigated, the eleven Latin American countries may have less adaptations in changes

in public structure, compared to the two countries in southern Europe, on average.

RESEARCH QUESTIONS

Specifically comparing the adoption of the public administration paradigm in countries of Southern Europe and Latin America measured in indicators metrics, will they maintain, fall back or advance, on the analyzed timeline?

CONTRIBUTION

Contribute to the correlate state of the art, through comparative research between Latin American and European countries, referenced within the respective borders of economic and political integration.

(Virtual) Public Administration and Policy Analysis in Latin America: diffusion of models and resistance to change

Leonardo Secchi (Universidade do Estado de Santa Catarina)

Luciano Busarello (Universidade do Estado de Santa Catarina)

Nickolas de Assis (Universidade do Estado de Santa Catarina)

This paper aims to comparatively study the adoption of Public Administration Paradigms and Public Policy Analysis Traditions in the national governments (executive power, direct administration) of the following Latin American countries: Argentina, Brazil, Chile, Colombia, Ecuador, Peru and Mexico. This multiple case study focused on the triggers and institutional barriers for their adoptions. Data collection was carried out through document analysis and semi-structured interviews with specialists and scholars of public administration and policy analysis from each selected country, totalling 14 interviews throughout the research process. Within the scope of Public Administration Paradigms, the research was based on the following paradigms: patrimonialist, bureaucratic weberian, New Public Management and public governance. With regard to Policy Analysis Traditions, the study adopted the distinction between incrementalism, rationalist and argumentative approaches to policy analysis. The study shows that there is a hybridization of these Paradigms and Traditions, each adapted to the particular reality of the respective country. The external influence of epistemic communities of Public Policy and Administration, and international organizations, such as the World Bank, the International Monetary Fund and the Organization for Economic Co-operation and Development, are mentioned by the specialists as a key factors for the policy/model diffusion that started in the 1980s. The main resistance to change with national governments is related to cultural and institutional factors, mainly path dependence on the established bureaucratic model and predominance of incremental models of policy analysis, even though there is dissemination of rationalist practices especially in technically intense “island of excellence” at the national government and its agencies. The diffusion of argumentative policy analysis and public governance principles is perceived in discourse and practice, based on civic engagement interorganizational cooperation was also detected. This recent diffusion is, nonetheless, depend on the political leadership in charge of the National Government to promote an open and integrative approach to public affairs.

(Virtual) Beyond Latin American and Napoleonic traditions: Comparing evidence from independent regulatory agencies in Portugal and Brazil.

Evandro Diefenbach (Universidade de Lisboa)

Sandra Firmino (University of Lisbon - School of Social and Political Sciences, Centre for Public Administration and Public Policies)

This paper aims to conduct a comparative analysis of the formal and de facto autonomies of the infrastructure regulators in Portugal and Brazil. Considering Brazil's historical past as a colony of Portugal, the Brazilian administrative system was structured on a basis brought from Portugal since the beginning of colonization. This leads us to think that if they have the same administrative tradition (Bilhim et al. 2015) and both were encouraged to establish IRAs by international organizations under the influence of New Public Management (NPM) doctrine (Misse 2010), these regulatory agencies should have similar characteristics. However, regulatory agencies differ in administrative practice. As Van Thiel (2009) suggests, Portugal's agencification is comparable to the developing countries where donor organizations had influenced the adoption of public sector reforms, notably by EU requirements. Therefore, despite the different reaction of the two countries to incentives for New Public Management (NPM) reforms (Araujo 2004), they have

created quite comparable regulatory agencies.

Considering on the one hand all the historical similarities and on the other hand the observation of the practice, we question whether the administrative autonomy of the regulators is really different. The following question is: if their autonomies are different, to what extent does this happen? We seek to identify the level of these differences in terms of the formal and de facto dimensions and the operational and strategic organizational level of human resources management (HRM) and financial autonomy (FA).

Against a New Institutionalism backdrop and using Agency Theory and NPM doctrines, we develop an index to understand the differences and similarities of the regulatory agencies in these two countries. The index covered 16 measures for HRM dimension and 15 indicators for FA dimension.

Updated literature and the COBRA network publications support the enunciation and test of our hypotheses for each dimension. Data collection included in-depth documentary research on 96 sources and survey data of five infrastructure regulatory agencies in Portugal and eight in Brazil. Preliminary analysis of the results suggests the confirmation of the assumptions of differences in autonomy. We also identified a set of characteristics that help to outline the groups of regulators in each country. European Union requirements and other factors may have influenced Portugal to shape government relations with its regulators at levels much more similar to those advocated by the NGP doctrines than Brazil has done.

(Virtual) Values of Public Managers between Traditions and Reforms - Portugal in a comparative perspective

Luís Mota (Polytechnic Institute of Leiria, Portugal)

Public governance in the so-called western world has undergone several waves of reforms since the 1980s, advocating a drift from the traditional weberian bureaucracy. These reforms implicated, among other aspects, quite different approaches towards public management, such as the empowerment of public managers vis-a-vis the politicians, a focus on outputs and outcomes, or the adoption of private HRM practices.

Although the reformist agenda had universalistic goals, the process and results of reform implementation were quite distinct between different (groups of) countries, due to a necessary conjugation between reforms and the national administrative traditions. As some studies of public sector reform in Portugal indicate, the country is a particular good example of hybridism, since the adoption of NPM-oriented measures has been influenced by the country's Napoleonic administrative tradition, which is characterized, among other things, by high levels of legalism and politicization.

Based on the COCOPS survey launched on 296 top-level and intermediate-level public managers in Portugal about their views and experiences concerning the process of public sector reform in the country, this paper analyses if the respondents perceive their own job and duties, as well as the role of public administration in society, to be closer to reformist or traditional principles. Moreover, it is our intention to analyse if there are significant differences in perceptions depending on variables such as age, seniority in public sector, experience in private sector, or hierarchical position. National results will be compared with results from other 15 European countries.

Considering these professionals are (potential) agents for change in the public sector, these results may then be a proxy of the degree of current adherence and future permeability to managerialism ideals in the Portuguese public sector.

(Virtual) The End of Participatory Policies in Brazil? A census of participatory processes

Gil Pradeau (University of Westminster)

There has been a participatory turn calling for stronger citizen engagement, especially in Brazil. However, very few studies compare 27 Brazilian states as subnational units and their participatory policies.

This paper tries to make a valuable contribution to the debate about pro-innovation bias in policy diffusion studies and shows how quantitative text analysis (QTA) allows to "follow the policy" and trace the diffusion of participatory planning mechanisms at the state level in Brazil by analysing political manifestos in 27 states during three terms (2010, 2014 and 2018). A careful analysis of the political manifestos shows that many future governors mention participatory tools such as PB, but very few are really implementing them when they get elected. Other planning mechanisms are being preferred such as multiyear participatory planning (Plano Plurianual Participativo), participatory territorial planning (Planejamento Territorial Participativo), Regional Forums (Fóruns Regionais).

A second textual corpus derivated from the guidelines about the Plano Plurianual is further analysed in order to map the degree of participation of the processes related to state finances. Four different levels of

participation emerged. Half of the states have implemented processes going beyond the legal requirements and three of them have done participatory budgeting.

This paper offers an exhaustive analysis for the very first time on the wide diffusion of the participatory paradigm in state administrations. It also suggests that there is a strong continuity from a term to another, regardless of the governor's identity.