



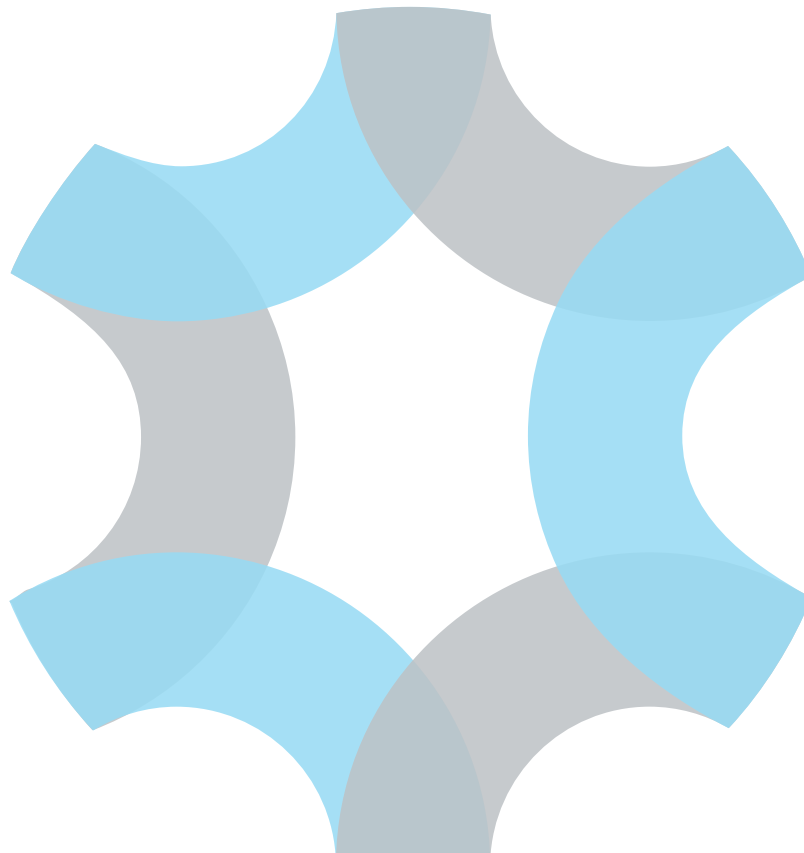
# NS6

A New Synthesis of Public Administration

## **Governance in the 21<sup>st</sup> Century: Using Government Authority and Collective Power** The New Synthesis Project

Brazil Roundtable Report  
Rio de Janeiro, July 13 and 14, 2010

Edited by the Honourable Jocelyne Bourgon, P.C., O.C.



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## MESSAGE FROM THE PROJECT LEADER

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The *New Synthesis Project* is dedicated to supporting public officials, both elected and professional, who are called upon to face the challenges of serving in the 21<sup>st</sup> century.

The project consists of an active research program supported by an international collaborative research network – the NS6 – involving senior public officials, researchers and scholars from more than two dozen organizations in six countries. A series of five international roundtables are being held in 2010 as important drivers of the research.

Our work begins from the proposition there are substantial differences in the context for governing and the role of government compared to previous eras.

Governments have always been relied upon to address difficult and complicated problems. Making choices, setting priorities, and pursuing complicated initiatives have never been easy. Today, governments are called upon to respond to an increasing number of complex public policy issues. These issues have emergent characteristics, feature high levels of uncertainty and are prone to producing cascading failures. They cannot be broken down into simple elements, and require holistic responses.

Traditionally, government has been seen as the primary agent in serving the public good and collective interests. Better health meant more hospitals; better education more schools; better safety meant more police officers. Today, we see the limits to this approach. Today, many governments operate under strong fiscal constraints. But even if this were not the case, many of the public results that most matter cannot be addressed solely by government spending more and doing more. They require the active involvement of multiple actors and the participation of citizens. Achieving results is increasingly a collective enterprise that hinges on the capacity of the State to lever the collective power of society.

The network started its exploration in March, with an inaugural roundtable in The Hague, where the focus was on strategies for dealing with “emergence” and building “resilience” in the face of complexity and uncertainty. We made significant inroads in defining how governments can better serve beyond the predictable and will return to this subject in September in Singapore.

The journey continued at a second roundtable in Ottawa in May, where we discussed the core business of government: achieving public results. In particular, we examined the reinforcing relationships between public policy results and civic results and strategies for pursuing both types as part of an ambitious collective agenda for society. We also examined some of the obstacles to achieving public results and how to overcome them.

After two roundtables, we are now beginning to see the contours of a New Synthesis of Public Administration that will support those who serve in the 21<sup>st</sup> century. It is about serving in an expanded public space that brings together the public, private and civic spheres where an expanded range of possibilities are open to government to achieve results with others. It is anchored in an expanded concept of citizenship where citizens, their families and their communities are deeply respected as value creators in a system of shared responsibility.

It is also grounded in an expanded view of the role of government that extends to serving in our unpredictable world.

At the roundtable in Rio de Janeiro we convened to discuss how the authority and resources of the State can best be used to lever the collective power of society to achieve public results and how new developments in society, such as the rise of public participation, social networking and co-production, are transforming the role of government, public organizations and public servants. We explored the benefits and challenges of these developments and how to maximize their potential, and examined the meaning of good governance in this new era.

The event in Rio reaffirmed the importance of the roundtable discussions in deepening our practical understanding of the future of public governance. It provided an important opportunity for broadening the circle of practitioners and scholars committed to creating this future as a public good. The hard work of our Brazilian hosts and the participants was much appreciated. It has produced even more momentum and goodwill in the initiative.



The Honourable Jocelyne Bourgon, P.C., O.C.  
President of Public Governance International, President  
Emeritus of the Canada School of Public Service, and  
NS6 Project Leader

## MESSAGE FROM THE HOST OF THE ROUNDTABLE

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The challenge of searching for better governance that enables public policies to produce more efficient and better results involves not only the understanding of new subjects to be addressed by the State but also grasping the means to incorporate views from heterogeneous social groups into the government's decision-making processes. This is not anymore a technical problem, but a change in public management that requires the participation and trust of citizens.

It was with this challenge in mind that during the NS6 Roundtable "Governance in the 21<sup>st</sup> Century – Using Government Authority and Collective Power", in the city of Rio de Janeiro, delegates explored major changes that have been emerging in government authority in a context of an expanded public space. Public executives, academics and case studies showed us how the State authority can help lever collective power as well as how collective power influences changes in government authority.

We also shared examples of transformations and social gains when there is a strong participation of non-governmental actors in public policies. It was possible to detect the significance of government's stewardship/trusteeship role and how this role can be played in order to assure rights and to promote social inclusion. For that to happen, participants agreed that information and communication technologies (ICT), which are already fundamental, have the potential to further boost government coordination and social participation.

The provocative debate that brought us together in those two days is reported for the first time in this publication, which reflects the thoughts and the will of the meeting's participants. I hope the results will inspire scholars and public leaders in their research and decision-making, for once again we were able to find common ground – common knowledge and common tools – to the problems faced by government in our countries, regardless of the level of economic and social development.

I take this opportunity to thank the institutions that supported the National School of Public Administration (ENAP) in the organization, logistics and financing of this event, particularly to the National Bank for Economic and Social Development (BNDES), Getúlio Vargas Foundation (FGV), National Institute of Metrology, Standardization and Industrial Quality (INMETRO), Research and Projects Financing (FINEP), and the National Council for Scientific and Technological Development (CNPq). I truly appreciate the enthusiasm of the NS6 Brazilian Roundtable guests, who generously shared with us their experience, their theoretical and practical knowledge. Finally, I am grateful to ENAP's team which demonstrated teamwork and effort to overcome limitations.



Helena Kerr do Amaral  
President, National School of Public Administration  
(ENAP) and NS6 Project Coordinator Brazil

# ACKNOWLEDGMENTS

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This roundtable report would not have been possible without the involvement of many individuals. The following people contributed to the Brazil Roundtable, 13-14 July 2010, and ultimately made this report possible.

## Hosts

- Luciano Coutinho, President of the National Bank for Economic and Social Development (BNDES)
- Francisco Gaetani, Deputy Minister of Planning, Budget and Management

## The Chair and Co-Chair

- Jocelyne Bourgon
- Helena Kerr do Amaral

## The Roundtable Delegates

- Silvio Crestana
- Katherine Graham
- Lena Leong
- James Low
- Alan Nymark
- Lidewijde Ongering
- Rodrigo Ortiz Assumpção
- Gordon Owen
- Alketa Peci
- Sue Richards
- Hironobu Sano
- Edna Tan
- Yvonne Thomas
- Gerard Van de Broek

## The Presenters/ Speakers

- Pedro Vieira Abramovay
- Leonardo Avritzer
- Cibele Franzese
- Paula Montagner
- Gordon Owen
- B. Guy Peters
- Conrado Ramos
- José Mendes Ribeiro
- Ronaldo Mota Sardenberg
- Yvonne Thomas

## The Rapporteurs and Moderators

- Brian Johnson
- Peter Milley
- Laura Ibiapina Parente
- Sergio Sampaio
- José Carlos Vaz

## The ENAP Team

- Cecília Baran Chachamovitz
- Luiz Henrique D'Andrea
- Vitor de Lima Magalhães
- Fernando Simões Paes

## Technical Support

- Jocelyne Comeau
- Kofi Kobina
- Henri Kuschwitz



## THE NS6 PROJECT

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The *New Synthesis Project* is dedicated to advancing the study and practice of public administration. It is supported by a collaborative network from six countries – Australia, Brazil, Canada, The Netherlands, Singapore and the United Kingdom.

The Project is exploring what *is* different about serving in the 21<sup>st</sup> century; what is new and what is of enduring value; how does this transform the role of government going forward? What new systems, skills and capacities will governments need to live up to citizens' expectations and face the challenges of their time?

This work is dedicated to *public administration practitioners* who are called upon to make decisions and take actions in an era that is more difficult and demanding than ever. The purpose is to provide them with a *narrative* supported by *powerful examples* that will help them face the challenges of serving in the 21<sup>st</sup> century.

While the task is daunting, a range of important new ideas and concepts exists that are relevant to the role of government in the future. Some of them can be found within fields traditionally associated with public administration, such as political science, law, administrative and management sciences, and organizational behaviour. However, many new ideas about complexity, networks, resilience, adaptive systems and collective intelligence from other domains are opening up promising new avenues.

While the goals of the *New Synthesis Project* may be ambitious, the partner countries and their research associates are united in the belief that the potential value of the project is well worth the effort.

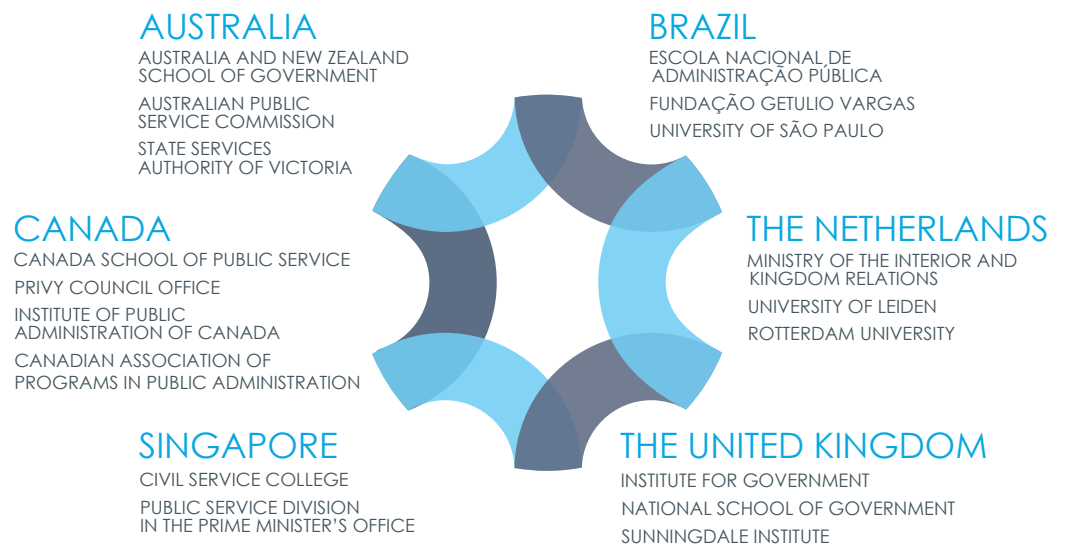
# THE NS6 NETWORK

In an effort to bridge the gap between academics and practitioners, the *New Synthesis Project* draws on the collective knowledge and experience of senior public officials, researchers and scholars through a collaborative network of 24 organizations from six countries, known as the NS6 Network.

The NS6 Network was created by a group of volunteers from the world of practice and academe who were willing to dedicate time and effort to develop a strong narrative supported by powerful examples to help public administration practitioners face the challenges of serving in the 21<sup>st</sup> century.

While the institutions and individuals forming the Network hail from different countries, different political systems and different historical, economic and cultural contexts, all share the view that public administration as a practice and discipline is not yet aligned with the challenges of serving in the 21<sup>st</sup> century. They also share a common understanding of the importance of the role of public institutions for society to prosper and adapt in the context of our global economy, networked society and fragile biosphere.

## The NS6 Network



A project led by JOCELYNE BOURGON with the support of

GOVERNMENT OF CANADA    CENTER FOR INTERNATIONAL GOVERNANCE INNOVATION (CIGI)  
 CISCO SYSTEMS    UNIVERSITY OF WATERLOO    PGI (PUBLIC GOVERNANCE INTERNATIONAL)

## THE INTERNATIONAL ROUNDTABLE SERIES

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Throughout 2010, the focus of the partners in the NS6 network is on deepening, enriching and continuing to debate the “new synthesis”. This will be pursued through three main strategies:

- a program of research, including case studies;
- a series of international roundtables; and
- ongoing dialogue and deliberation.

The roundtables are a place for the full expression of international collaboration. They are designed to give substantive and practical shape to a new synthesis of public administration.

Five of the participating countries will host one of these events, with The Netherlands having had the honour and challenge of hosting the first one.

Through the roundtables, renowned experts and leading senior practitioners from different parts of the world come together in a “safe space” that fosters free exchange and co-creation. Their central task is to explore, debate, and validate the main themes, propositions and ideas in a “new synthesis” of public administration. In doing so, they are expected to draw on their own expertise and experiences, and on the research findings and case studies that have been developed in the NS6 project. Ultimately, the goal is for roundtable participants to give substantive, practical shape to an up-to-date frame of reference for public administrators in the 21<sup>st</sup> century.

The roundtables will be a disciplined journey of discovery and co-creation. They have been sequenced thematically so the knowledge stemming from them is cumulative. A report, such as this one, is being produced from each event and made available in time for participants to prepare for the next one. As a result, they examine in a systematic way the key issues and questions that are central to the *New Synthesis Project*.

## SCHEDULE OF ROUNDTABLES

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Subject	Location	Date
<b>An Expanded Public Space: Emergence and Resilience</b>	The Hague	March 24-26, 2010
<b>Achieving Public Results: Societal and Civic</b>	Ottawa	May 4-5, 2010
<b>Governance in the 21<sup>st</sup> Century: A Collective Enterprise</b>	Rio de Janeiro	July 13-14, 2010
<b>Serving Beyond the Predictable</b>	Singapore	September 21-22, 2010
<b>A Public Sector Reform and Renewal Agenda for the 21<sup>st</sup> Century</b>	London	November 16-18, 2010

## FOCUS OF THE BRAZIL ROUNDTABLE

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The *New Synthesis Project* is supported by an international collaborative research network (NS6) dedicated to exploring the new frontiers of public administration. In addition to ongoing research, the NS6 is holding a series of roundtables to explore its findings.

The third in a series of five international roundtables took place on July 13-14, 2010, in Rio de Janeiro, Brazil. This roundtable explored the implications for governments of serving in the expanded public space that characterizes modern governance. It concentrated on the complex relationships between government authority and society. It focused on how the authority and resources of the State can be used to lever the collective ideas and power of society to achieve public results and on how transformations in society, such as the rise of modern information and communications technologies and social networking that allow collective power to emerge and coalesce, are altering the role of government.

The roundtable focussed on three questions:

- What major changes are emerging with respect to government authority in the context of an expanded public space – roles and practices?
- How can State authority help to lever collective power? How can collective power influence changes in government authority?
- What emerging principles can improve both State authority and collective power?

## IN SUMMARY

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1. **On a new framework: The New Synthesis project is not looking for a model or recipe but for a framework for thinking through the breadth of choices available to public officials.** It is not about binary choices – market versus co-operative network or centre versus local. Rather it is about a multi-faceted approach and a search for balance. Choices will be context, mission and circumstance specific.

2. **On changes that are emerging with respect to government authority in the context of an expanded public space: Modern communications technology is transforming society and governance.** Public results are increasingly a collective enterprise. They exceed the capacity of government working alone. Government cannot control all the levers. So, government must reach out to the collective power of others to achieve results. Modern governance is about “inter-stitching” agencies, sectors, systems and disciplines. It is expanding the repertoire of roles. The role of government is expanding from decision-maker, law-maker, enforcer and service provider to include convenor, facilitator, negotiator, enabler, conflict manager and partner. For citizens and other actors, their role is expanding from voter, taxpayer and service user to include interlocutor, active participant, decision-maker, partner and co-creator of public goods. This requires greater capacity for cooperation and coordination in government and society.

3. **On how government authority can help lever collective power: The capacity to “steer” and “enable” becomes more powerful than “command and control”.** Public participation processes can be used to achieve better public results; such processes are an important complement to representative democracy. Government can use its authority as a “convenor” to assemble existing authorities and resources without necessarily devolving power. Government can create and support platforms for experimentation and innovation in society, make public data available as a public good, promote public participation and co-produce public goods with citizens and other actors.

4. **On collective power influencing State authority: An active citizenry is a protection against abuse of State authority.** Public participation processes can inform government decision-making. Citizens can become value creators, creating public goods with or without the active involvement of government.

5. **On principles that can improve both State authority and collective power:** A number of concepts were raised that could inform the development of principles:

Good governance means being worried about the quality and justice of public policy decisions, in addition to efficiency and productivity.

Good governance requires good government: a strong regulatory framework, solid institutional capacity, a multi-faceted policy approach and a focus on the results that matter most – at the societal level.

Controls should not be so burdensome that they get in the way of achieving better public results. Controls need to be commensurate with the risks of mismanagement and illegal activity in government.

The stewardship role of government cannot be out-sourced. Government must be able to anticipate, monitor, course correct and act when the collective interest is at stake. Government will always be the insurer of last resort when the collective interest demands it.

# 1. INTRODUCTION

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The Brazil Roundtable brought together senior policy-makers, practitioners, researchers and scholars from seven countries to discuss the theme of Governance as a Collective Enterprise: Using Government Authority and Collective Power (see Annex A for names and affiliations of participants).

The meeting was chaired by Helena Kerr do Amaral, President of the Brazilian National School of Public Administration (ENAP) and co-chaired by the project leader, The Honourable Jocelyne Bourgon.

The event was organized as follows:

- Participants were given background materials to review in advance;
- The first morning was dedicated to exploring the core issues of the roundtable – a leading scholar and a senior practitioner provided their perspectives on the role of the State and the building of core capabilities in an emergent model of governance;
- In the afternoon, experts presented the results of case study research related to what governance as a collective enterprise entails in practical terms;
- The second morning was dedicated to interviews with senior Brazilian government officials;
- All participants engaged in a moderated, lively and frank conversation governed by Chatham House Rules;
- The conversation continued over lunch in a less structured format;
- The final afternoon was spent in a facilitated discussion to derive guidance for practitioners stemming from the roundtable.

## 2. OPENING SESSION

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The Chair opened the event by welcoming delegates and guests to Brazil and thanking those who made the event possible.

She explained the NS6 initiative was a work in progress in which academics, in the pursuit of knowledge, were joining practitioners, who must decide and act, in search of a strategic, collective view of public governance for the 21<sup>st</sup> Century. The purpose of this roundtable was to explore the theme of governance as a collective enterprise, including how government can use its authority and resources to leverage collective ideas and the power of others to achieve public results.

The Chair noted the NS6 roundtables are providing Brazil with an invaluable opportunity to deepen its discussion on the public sector reforms that are needed in the 21<sup>st</sup> Century. This is particularly important in the context of an emerging nation facing the challenges of overcoming poverty and social exclu-



sion, enabling social participation, promoting innovation and enhancing the framework of the rule of law. The NS6 project achievements can contribute to the consolidation of Brazil's democratic governance.

Francisco Gaetani, Deputy Minister of Planning, Budget and Management in the Brazilian federal government, extended his welcome. He provided a brief overview of the ministry, which, in addition to its responsibilities for planning, budgeting, management, information technologies and logistics, is also tasked with reshaping the public sector to support an "enabling state". Brazil has a strong development tradition but needs to continue improving its capacity for simultaneously managing democracy, the public administration and development. The current challenge involves organizing the public sector in a way that enhances a healthy relationship with the private sector, civil society and other governments around the world.

Participants were urged to "bring something useful, something usable to us". The importance of international dialogue and exchange in order to learn from other nations was pointed out. As Brazil is seeking to update its legislative and policy frameworks in order to reorganize the public administration, dialoguing with other countries, especially those with different models, conventions and traditions, is a useful and important exercise. Engaging intensively in conversation can help participants and their governments better understand the shortcomings and the competitive advantages of each nation involved in the project.

The roundtable was held at the National Bank for Economic and Social Development (BNDES) where its President, Luciano Coutinho spoke on the role of the Bank in the Brazilian economy. Improving the quality of the public sector is an important theme in Brazil's development. It should focus not only on improving efficiency, but also on enacting good public policies that respond to social needs and support development.

In terms of recent events, the country had been hit fast and hard by the international economic recession but had recovered quickly. In fact, emerging markets such as Brazil were leading the world economic recovery. Brazil has a small deficit and a declining debt to GDP ratio; income distribution has continued to improve and purchasing power is on the upswing, real wages and job creation is growing, gross fixed investment while down for two quarters has recovered, and Brazil's economy is expected to grow at an average rate of 5.5 percent per annum through 2014.

Some of the reasons for Brazil's success in recovering from the economic crisis include key characteristics of good governance in an uncertain world:

- *A sound regulatory environment.* Brazil had financial regulations that were considered outdated by some, but that served the country well in the crisis.
- *Strong public institutions.* Three public banks were able to expand credit when it was needed. BNDES played a key anti-cyclical role throughout the crisis by providing credit, with a significant amount going to small and medium-sized firms.
- *A multi-faceted policy approach.* Brazil had effective public policies in areas such as productivity development, education, technology and innovation, growth and housing. It also had infrastructure programs that were important to attracting and ensuring investment.
- *A people-focussed approach.* Brazil had well-focussed social programs that

mitigated the impact of the economic crisis.

Moving forward, it will be important for Brazil to continue improving capacity for long term planning, promoting policies that support domestic savings and upward social mobility, and promoting innovation (including innovation in public sector governance) and competitiveness.

Jocelyne Bourgon, in her introduction, stated the *New Synthesis Project* is developing an enabling framework of public administration to help practitioners address the challenges of serving in the 21<sup>st</sup> Century. This framework aims to integrate past conventions and practices of enduring value with promising new lines of development to close the gap between existing theories and the current reality of practice. As part of the network of six countries involved in the project, Brazil is a key partner. It is developing new approaches to governance in a large, diverse context and has many ideas to bring to the table.

The *New Synthesis Project* started from the proposition that there are substantial differences about governing in the 21<sup>st</sup> century compared to previous times. These differences are transforming the role of government, public organizations and public servants. An increasing number of complex issues populate the contemporary governance landscape. These issues tend to be multi-dimensional and intertwined. They feature high levels of uncertainty and are prone to cascading failures. They require a holistic approach. Achieving public results is increasingly a collective enterprise. It requires the involvement of multiple actors and the active participation of citizens as value creators.

The *New Synthesis Project* is a search for a framework that allows public officials to think through the choices they must make in this environment, taking into account their specific contexts and circumstances. It is a search for balance between government authority and collective power and between the public, private and civic spheres in achieving public results. It is about moving from looking at government as a more or less closed system to seeing it as part of an open and dynamic system where government and many other actors in society continually interact and co-evolve.

A number of key findings have emerged from previous roundtables in The Netherlands and Canada.

In The Netherlands it was learned that when dealing with emergent, complex issues there are limits to structural reforms, reorganization, and master plans. There are dangers in oversimplification. Taking an adaptive stance that relies on small scale interventions at multiple levels often works better. In cultivating resilience it was learned that government should avoid creating dependency, that *laissez-faire* and overly interventionist approaches are equally problematic, and that quick fixes can do more harm than good.

In Canada it was learned that public organizations must position themselves to achieve public policy results at the system-wide and societal levels, as well as civic results. Achieving system-wide results often starts by building public support and encouraging participation. Strategically reducing controls, conditionality and reporting requirements can lead to better results. Moreover, it may be necessary to disentangle performance management systems from control systems in order to improve public results. These findings are beginning to produce the contours of a new synthesis of public administration.

In contrast to their classical role of planning, organizing, directing and controlling, the role of public administrators in the 21<sup>st</sup> century may be about:

- exploring the space of possibilities, experimenting learning and sharing knowledge;
- conserving conventions, values and principles of enduring value;
- exploiting the authority of the State to lever collective capacity; and
- adapting and building resilience to prosper in unforeseen circumstances and co-evolve with society.

## 3. EXPLORATION OF CORE ISSUES

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The roundtable discussions began with an exploration of the core issues. In order to frame these issues, Dr. Guy Peters from the University of Pittsburgh presented on the role of the State in an emergent model of governance. This was followed by a presentation by Dr. Conrado Ramos, Deputy Director of Uruguay's Presidential Office of Planning and Budget, Government of Uruguay on building core capabilities in an emergent model of governance.

### 3.1 ROLES OF THE STATE IN AN EMERGENT MODEL OF GOVERNANCE

Dr. Peters began by describing the traditional model of public administration with its focus on autonomy of State provision, equal treatment of all, controls through rules, standardized procedures and hierarchical accountability. This approach has been criticized as monopolistic, hierarchical and rigid. It has also led to declining confidence and trust in public institutions.

The two dominant public sector reform approaches of the past several decades: the market approach (New Public Management) designed to make government more efficient; and the network approach designed to address the increasingly necessary participatory dimension of governing. These reform efforts have resulted in a “decentering” of governance processes, which now tend to feature a mix of decentralization, delegation, disaggregation and devolution.

Markets and networks have helped the State to address issues which could not be handled well by conventional means. But, problems related to accountability, control, coordination and coherence have emerged. Private sector and market failures have occurred, pointing out problems in governance through these means. In addition, questions have been raised as to whether they undermine fundamental public sector values (i.e., accountability, equity, equality and redistribution) and the primacy of politics (political steering).

There is a need to find a new balance between “decentering” and “recentering” – that is, building increased control into the governing process, while at the same time permitting some autonomy for networks, agencies and other forms of decentralized governing. He argued the public service should be at the centre of this blending; moreover, this cannot be done using the conventional authoritative relationships and command-and-control interventions. Instead, “soft steering” through priority setting, “golden threads” (e.g., conditional cash transfers), soft instruments (e.g., benchmarks, guidelines or frameworks) and the State working as a “negotiator” as well as a “commander” are needed.

It is not possible to go back to the traditional approach given the increased complexity of public policy issues. There is a need to find the right mix and balance, “one size fits all” approaches will not work, innovative and hybrid solutions are required. and The choice depends on a number of factors including the policy area, the nature of the public good, the scale of the problem, the available technology, the need for certainty, and the need for redistribution.

## 3.2 BUILDING CORE CAPABILITIES IN AN EMERGENT MODEL OF GOVERNANCE

Dr. Ramos spoke about the challenges faced by developing countries that are trying to adopt new models of governance while strengthening conventional institutions and extant instruments of public administration...

When the new government came to power in Uruguay in 2005 the country was confronted with significant challenges for which it was unprepared. It had not completed its journey to being a traditional welfare state and had heavy public social spending alongside of key structural vulnerabilities in society and economy. For example, poverty was concentrated in the populations of children, single mothers and informal workers; and the economy was undiversified, highly variable and vulnerable to external shocks.

To solve these problems new institutions were created and structural reforms implemented. On the social side these included the introduction of an integrated health system and a coordination ministry for social policies, a tripling of the budget for education, a substantial increase in child benefits, the reestablishment of collective bargaining and wage boards and tax reforms. Social conditions have improved (e.g., a decrease of the poverty rates from 31% in 2004 to 20% in 2008; an improvement in the GINI index to rank the best in Latin America). On the economic side, these included an Investment Promotion Act, a Public-Private Partnership Act, public-private investments in railways, ports, alternative energies and the development of new productive chains. These should all improve the country's systemic competitiveness.

It was argued Uruguay must use the present growth cycle to strengthen the State's capacity to “steer” a development path over the long term that reduces vulnerability and volatility. This may mean establishing a new model of governance, which combines the market, social networks and hierarchical administrative authorities in new ways.

While Uruguay has invested in modernizing some of its decentralized public bodies, it has not invested as heavily in strengthening the capabilities of its central administration. There is weak capacity in areas such as regulation, policy development, evaluation and the coordination of deliberative and collabora-

tive public policies. Strengthening this “core” of the State is a condition for future progress.

Uruguay needs a central administration able to work in complex and dynamic environments. This entails developing more capacity to generate information and social intelligence that can be used for timely political decision-making. It means strengthening the leadership capacity of government to articulate in an inclusive way the interests of those involved in each public policy.

In Uruguay, as in some other Latin American countries, the development of capacity at the core of the public administration is limited by weaknesses in the budget and career management systems, in the information and national statistics systems, and, until recently, in the absence of an e-government agenda for the public sector. In order to counteract these problems a number of measures have been introduced, including:

- Results-based budgeting – defining cross-cutting programmes, setting objectives and outputs, measuring them and linking them to outcomes. This entails strengthening information, financial and accounting systems.
- Process redesign – simplifying and systematizing the main processes of line ministries to enhance predictability, identify responsibilities and produce efficiencies.
- Redesigning the civil service and administrative career system – introducing managing by competences and performance evaluation, and making more flexible the traditional Weberian model of administrative careers.
- E-government agenda – using ICTs to make government more accountable to the citizens and to reduce bureaucracy.

### 3.3 REFLECTIONS AND LESSONS AROUND THE CORE ISSUES

Participants met in smaller groups to reflect on the presentations in light of experiences in their respective countries. In the reporting out, the following points were raised:

- There is a lack of confidence in how governments work. In the last 20 years much has been achieved, but new problems have appeared that require new approaches that build on gains from the past.
- Good governance is more than what government can do alone; it is also what government can do with others – the private sector, civil society and citizens. As a consequence coordination capacity is essential for good governance. In federated states coordination is even more important because it means being able to coordinate the actions of different levels of government.
- The *New Synthesis project* is not looking for a model or recipe but for a framework for thinking through the breadth of possibilities. It is not about binary choices – market versus co-operative networks or centre versus local. Rather it is about taking a multi-faceted approach and a search for balance. The choice of approach will be both context (e.g. what each

country has inherited) and circumstance (e.g. is it a crisis situation) specific.

- In addition to addressing modern governance challenges, countries also need to take care of the fundamentals and ensure that the basic institutions of good government are in place. It is important that solid, well-performing institutions be in place. For example, a strong centre of government can play a multitude of roles such as intelligence gathering, anticipating, coordinating, negotiating and monitoring.
- When using government authority to promote collective action, the stewardship role of government cannot be ignored or “outsourced”. Government will always be the insurer of last resort when the collective interest demands it.
- Aided by modern communication technologies, social networks and the public space are expanding. Governments have not yet developed the capabilities to tap the potential of, and to deal with, this new reality.
- There is a danger the traditional bureaucratic model is leading to government paralysis as more and more resources are devoted to compliance and control. Compliance and control measures need to be commensurate with the risk of mismanagement. There will be no innovation if there is no place for reasonable risk-taking and honest mistakes.
- Good governance requires a strong regulatory framework (good regulation is not synonymous with deregulation or no regulation), solid institutional capacity (public sector institutions must be there when you need them), a multi-faceted policy approach and a focus on the results that matter most – that is, what does the policy choice mean for people and will society be better off?

## 4. CASE STUDIES

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A total of four case studies from Brazil (2), Canada and the United Kingdom were presented in two simultaneous sessions. These provided examples of the evolving practice of public administration, addressing the benefits and challenges of the mutual transformations of government authority and collective power. They looked at the advantages of involving citizens, communities and other actors in the governance process; they addressed the benefits of allowing diverse communities to respond to issues in ways that are specific to their unique circumstances; and they looked at the innovations that can emerge from such approaches. They highlighted challenges related to the sharing of decisions, responsibilities and risks, the lack of alignment with traditional accountability regimes, the measurement of results, and the need to develop new public sector competencies.

### 4.1 GROUP A

#### 4.1.1 Vision, Collaboration, Persistence and Hard Work - The Canadian Federal Government's Homelessness Partnering Strategy

In Canada, as elsewhere, homelessness is a growing, complex societal problem constituted by an array of interrelated causes. It may involve issues related to housing, health, mental health, drug use, criminality, race, economics, and transportation and thus requires unique responses for particular cases and places.

Homelessness is an issue of national concern in Canada; however, the majority of activities and services to address homelessness must be provided at local, community levels. In 1999, the federal government created the National Homelessness Initiative to fund transitional housing and other services for homeless people across the country. By 2007, the complexity of the problem had become clearer and the government realized a focus on housing was not going to be enough. Federal funding could only go so far in addressing the issue. The government needed to mobilize and align other levels of government, organizations and community groups if progress was to be made.

As a result, a National Homelessness Partnering Strategy (HPS) was introduced. The HPS is based on an understanding that federal government has limited capacity to act on its own, and relies on the use of state authority to leverage collective power. Government plays a convening role by creating a platform and incentives for collaboration on the issue of homelessness.

The HPS assembles community groups, stakeholders and multiple levels of government who come to the table with their respective mandates, authorities and resources. It distributes federally allocated funds as well as mobilizes existing sources of funding found within communities and public organizations. The

program is delivered through Community Advisory Boards (CAB's) that review and recommend project proposals to the relevant authorities who ultimately approve them. Local organizations deliver the approved services working in horizontal networks or joint arrangements alongside agencies from multiple levels of government. The financial incentive to convene, pool resources and collaborate is provided from the approximately CDN \$390 million (per year for the next five years) that the federal government has set aside to fund housing and homelessness programs.

This government sponsored mechanism has been effective at leveraging collective power and expanding community capacity. For example, in Prince Albert, Saskatchewan, the Housing Committee evolved into a CAB to pursue the funding available from the federal government. In so doing, the community planning and analysis process identified needs and brought together a number of groups already in existence in the community as partners in both the analysis and in the decision-making around funding. For Prince Albert, the CAB planning and governance process has been a success. It has increased the capacity of the city and its citizens.

The HPS does not undermine traditional accountability structures—rather it aims to complement them. Government retains control over its funding allocations, and accountability structures fully apply on project proposals reviewed by the CAB's and approved by the responsible authority. The benefit is that by sharing responsibility for the many facets of this complex problem, there is a level of commitment from the contributing parties that complements the formal accountability structure.

However, it is difficult to achieve, monitor and attribute results for a complex issue like homelessness, particularly when the actions are customized at the local level and involve multiple parties trying to address the issue from different perspectives. The HPS currently measures the results supported by federal government funding rather than following the chain of activities among actors leading to the broader societal outcomes. Establishing a broader linkage to the reduction of homelessness in Canada has thus been tentative. Moreover, the lack of alignment between traditional systems of accountability and the demands of a horizontal initiative involving multiple partners and stakeholders imposed high time and resource costs on participants.

## **4.1.2 National Health Conferences and Participatory Processes in the Brazilian Federal Public Administration**

In Brazil, social participation issues entered the political agenda in the period of democratization of the country, between 1985 and 1988. At the end of military rule in the 1980s, the role played by new stakeholders, organized in various social movements, strengthened civil society, enabling their participation in various spheres of collective life. The 1988 Federal Constitution incorporated into the political system different forms of social participation at the local and federal levels. Participation takes place, for example, through public policy councils, conferences, hearings and public consultations.

This case study focused on Brazil's National Health Conferences as “democratic spaces for the meeting of different sectors of society, interested in evaluating,



discussing, criticizing and suggesting public policies." At these conferences, representatives from across civil society and the State mobilize, discuss and evaluate policies, and produce proposals and guidelines to inform and influence the government's agenda and actions.

This case draws lessons from a comparison of the 8<sup>th</sup> National Health Conference (1986) and the 13<sup>th</sup> National Health Conference (2007).

The 8<sup>th</sup> conference was comprised of over 4000 participants, including intellectuals, professionals, trade unionists and healthcare users. Delegates were made up of 50% civil society representatives and 50% representatives of public institutions and health workers. It was a watershed moment in the development of Brazilian health policy. The final report of the Conference became the main input of the Health chapter of the 1988 Constitution of Brazil. The reforms it proposed eventually led to the creation of Brazil's publicly funded universal health care system, the Unified Health System (SUS).

The 13<sup>th</sup> conference mobilized an unprecedented number and diversity of actors – 1.3 million people participated in the process. Over 4,400 Brazilian municipalities staged local conferences, followed by 27 state level conferences. The process of debate, negotiation and consensus building at grassroots levels produced proposals for consideration at the national conference that followed. Delegates at the national level included SUS users, health workers, public managers, union representatives and civil society organizations. The rules conferred equal rights to all delegates regardless of their sector of origin. Discussions at the conference moved systematically through roundtables, to thematic plenary sessions and lastly to a final plenary in which proposals which had received favorable votes in previous sessions were debated and voted upon. The end result of the conference process was a final report consisting of 857 proposals.

While the Brazilian government is not bound to implement proposals, President Lula has said, "The government is much more likely to get it right when it listens to the people rather than when it just hires some expert to design a program." The national conferences provide practitioners with information that represents not only aggregate preferences of the majority, but also interests and demands not previously contemplated by public officials. This allows for the creation of a more comprehensive representation of reality and interests of society.

The widespread reach of Brazil's social participation exercise is not without significant challenges and limitations. The 13<sup>th</sup> CNS demonstrated that in some instances, social participation may polarize delegates and crystallize opposition to government policies. Two examples offered in the case include two significant proposals supported by government that were eventually rejected at the 13<sup>th</sup> conference.

Some key findings from the case include:

- Governments cannot rely on acting alone. Increasingly they need to work with others to achieve results. The focus on governance is essential: sharing responsibilities, risks and power is difficult, but necessary, to achieve public results.
- It is important to build mechanisms that enable citizens to listen to each other and interact with public administrators to improve results.
- Specific social groups can be at the origin of the movements and participatory processes that create public policy ideas, influence the agenda of government,

and even produce public goods (in Brazil, the “Sanitary Movement” led to the creation of the SUS).

- Participatory spaces are an important instrument of democratic governance. They add information, diagnoses and collective knowledge and enable the development of respect for diversity, the open expression of ideas and interests, dialogue and learning. They can contribute to building bridges and fostering consensus, but to do so they necessarily involve some degree of tension.
- Participatory spaces can help new actors emerge who have previously been marginalized and enable the recognition of the multiplicity of issues and interests not previously considered.
- Participatory spaces can be incubators for experimentation and innovation.

Though valuable and important to policy effectiveness, social participation also creates a number of challenges. As the number and diversity of actors and interests increases, developing consensus and setting priorities becomes more difficult. The sheer number of proposals that emerge from large scale participation efforts may be very difficult to digest and turn into effective public policy. Moreover, participatory processes can crystallize opposition to government projects. This is an inherent risk in the collective construction of agendas.

### 4.1.3 Group Discussion

The following main points emerged from the group discussion:

- When public issues exceed the capacity and authority of the government acting alone, government can play a convenor role to bring other actors together to do what each does best. This does not necessarily translate into the devolution of power or authority.
- Social participation processes can be an important complement to representative democracy. There are many ways of carrying out these processes. They need to be well thought through, with clear rules of the game. Mechanisms need to be adaptive. These processes can extend the timeframe for decision-making.
- Using State authority to lever collective power will require a redefinition of the roles of various actors and rearranging agenda-setting and budgets. Measuring and reporting are challenging issues.
- Social participation requires that public servants must be attentive to public debate.

## 4.2 GROUP B

### 4.2.1 Better Justice Outcomes Through a Citizen-Centred Approach (United Kingdom)

In the United Kingdom (UK), governments over the past 20 years have built up momentum for a high imprisonment approach to criminal justice. Despite falling crime rates, prison populations have risen dramatically and more strain has been placed on probation resources. Funding pressures to support a high incarceration rate has meant that interventions known to be effective in preventing re-offending have been pushed to the margin.

Transforming Justice consists of a series of initiatives conceived and developed by officials in the Ministry of Justice over the past three years to reform how justice services are delivered. It is designed to make services more effective in achieving justice outcomes while reducing costs. Lack of funding was a compelling driver of reform.

The new coalition government in the U.K. has stated that more needs to be done to ensure fairness in the criminal justice system, reduce re-offending and provide support and protection to victims of crime. Its approach is to take a complete geographic area and contract with providers to reduce the net demand on the system, reduce crime and reduce resource requirements over time.

The historical approach to the delivery of justice services was confined to program silos. Services were not integrated. Control was centralized and programs were over-specified, over-measured and focused on outputs not outcomes. The collaborative service design approach is multi-agency, multi-provider and community involved.

The first part of this case study looked at the creation of a National Offender Management Service as an executive agency, a change intended to insulate it from short term political pressures and to concentrate the attention of its leaders on achieving better outcomes. This is facilitating the development of innovative solutions to criminal justice problems.

The second part of the case study looked at the National Offender Management Service in Wales, (NOMS Cymru), and in particular its approach to the treatment of women offenders. The case drew lessons about moving to a citizen-centered approach (in this case, a specific woman offender) in which the use of state authority to convene others is being used to achieve public results.

The key findings from the case study include the following:

- A significant crisis can be important in destabilizing an old paradigm and legitimizing the need for change. This case highlights how a fiscal crisis moved government from direct service delivery to exploring different avenues and roles, including the possibility of collective action among a wide set of people and organizations.

- Governments must build its capacities (institutional capacity, strategic capacity, partnership capacity, enabling capacity) to effect change. This takes time.
- There needs to be alignment across the system. This includes across levels (e.g. local/national) and between actors in separate agencies. There are many examples of good local projects which start as pilot projects and prove their worth but are never scaled up to become mainstream programmes because of different perspectives across the system.
- Communities that have a sense of ownership for their problems can be central to solutions. This sense of ownership can be enabled or encouraged. Where it does not exist, public officials can intervene through various means, including convening citizens and stakeholders, to help surface issues and deal with conflicting interests on the way to a collective solution. However, this is not an easy or straightforward task. It requires significant skills and capabilities.
- Change requires leadership at all levels. This case highlighted the importance of political leadership as well as public sector leadership at the national and local levels. It also underscored the need for new skills in particular around dealing with conflict in social participation processes.

## 4.2.2 Brazil Public Health System and Mechanisms of Institutional Governance (Brazil)

Until the 1980's the Brazilian healthcare system was institutionally fragmented. There was administrative discontinuity between the three levels of government, no integration between private and public health services, and most of the population having little or no access to health care.

By the end of the 1980's one of the most important civil society organizations in the Brazilian context of re-democratization, the so-called "Sanitary Movement" formed by intellectuals, professionals, trade unionists and users of health care, advocated a comprehensive health reform for the country. It designed and promoted a plan for an alternative health system, eventually succeeding in having health enshrined in the 1988 Constitution as a citizens' right. This requires the State to provide universal and equal access to health services.

Under a subsequent health reform in 1996, Brazil established the Unified Health System (Sistema Unificado de Saúde - SUS). This system is based on decentralized universal access. Municipalities provide comprehensive and free health care to each individual in need, giving special attention to primary health care which remains a pillar of the Brazilian public health system. The public system serves more than 70% of the population, and exists alongside a private system (of both profit making and not-for-profit organizations) for those who have the financial means and prefer private care.

This case study focuses on the experimentation and innovation in the public health care sector since the creation of the Unified Health System. It concludes that it is possible to build a new model for primary health with the principles of fairness and solidarity as long as there is the political will and strong popular support to do this. It also concludes that, though the health system is constitu-

tionally established, the greatest advances in the system have been the result of innovation and experimentation by participants.

Decentralization to municipalities, community participation and complementing private and public health establishments services are some of the important features from the innovative institutional design of the SUS. All three levels of government in Brazil – federal, state and municipal – have worked hard to encourage the poor to use and benefit from the health system through initiatives, such as the Family Health Program and through the deployment of “agentes de saúde”, who are members of local communities employed to work as the auxiliary assistants of the health professionals.

The Unified Health System is financed by general taxes and coordinated by government entities through the Ministry of Health and implemented by the sub national levels (Health Departments at Municipal and State levels). The model operates under Ministry of Health general coordination whose normative power has positive aspects in terms of uniformity of procedure; however it has a dampening effect on local initiatives.

Nonetheless, recent developments in the SUS continue to reveal that it matures through local experiments and innovations that are gradually institutionalized to produce health services of greater efficiency and quality. Examples include: the use of Health Councils to allow for community and stakeholder participation in health care planning and delivery; the Family Health Modules, which were originally organized in simple formats for targeting lower income populations and poverty-hit regions but have now become more sophisticated and have expanded in major metropolitan areas; the Family Health Strategy has been diversified and structured into networks to promote the transformation of older primary care centers into “policlinics”; new emergency care structures which emerged in Brazil's Southeast region are being adopted in other metropolitan areas.

Key findings from the case study included:

- Experimentation and innovation are major mechanisms for system adaptability: The Unified Health System had two major foci of innovation – service provision (e.g., community member participation as auxiliary workers) and governance (e.g. intergovernmental cooperation).
- Local experimentation is crucial to producing innovative public policies and services.
- Social participation mechanisms (e.g., Health Councils) have allowed active participation by citizens, all levels of government and health workers (however, under certain conditions, health councils may serve as an extension of executive political power or as a source of resistance to innovations).
- Compensatory financial mechanisms related to large programs such as the SUS can help to reduce regional disparities (e.g. federal resource transfers to programs associated with the Family Health Model are concentrated in poorer areas).
- Strong popular support for the SUS ensures its continuity and ongoing development through successive changes in government.

## 4.2.3 Group Discussion

The following main points emerged from the group discussion:

- “Big bang” approaches to change carry a lot of risk. Transferring public delivery to the private sector carries the risk of overestimating the potential financial savings and under-estimating the public expenditures that may still be required. However, while there are risks with the big bang approach, there is also a history of small scale projects that may be successful but are never scaled up—and therefore never realize their potential. Big bang approaches might help to change paradigms if this is what is deemed necessary.
- Experimentation is in the nature of the Brazilian health care system, which continually tests the limits of innovation. This has included experiments with no legal framework to cover them but which were allowed to proceed. Successful innovations are readily disseminated and become incentives for changes in national policies and even laws.
- Small scale experimentation might be a better solution to problems than large scale institutional change. The challenge is scalability. Many good initiatives have failed because it was not known how to mainstream them. A rule of thumb is pilot projects should not be started unless there is an agreement to mainstream successes and to stop using old approaches that hinder the progress that flows from success.
- In cases of shared responsibility, accountability can become more varied. For example, it may consist of formal accountability to a Minister and informal accountability to citizens, families and communities. When responsibility is shared with private entities, the final accountability still rests with the public body.
- There was discussion over the traditional separation that exists between public policies and public services and programs. The test of a good policy is in its implementation. The public policy process is about delivering public policy outcomes at the lowest cost with the least unintended consequences. So, policy decisions and implementation have to come together. There was a general consensus on the need to avoid strict separations.

## 4.3 DISCUSSANTS ON CASE STUDIES

Cibele Franzese of the Getúlio Vargas Foundation commented on the Group A case studies, noting they raised two main issues: new forms of governance as new ways of organizing government authority and new forms of accountability.

On the issue of new forms of governance the primary feature is coordination inside government (approaching issues in a more comprehensive, multi-disciplinary way among government agencies), among governments (sharing responsibility between national, sub-national and local levels) and between government and society (participatory processes).

On coordination among governments, there does not have to be a trade-off between centralization and decentralization. A strong centre can co-exist with strong local government because each has different roles to play. The centre can

set the framework while allowing local adaptation to meet local circumstances; however, the centre must be able to monitor, course correct and be open to adapting its own policies based on local developments. The Brazilian National Health System combines the strength of national, state and local governments, combined with significant inputs and contributions from civil society. However, coordination efforts require the development of shared accountability arrangements, which very much remain a work in progress.

Leonardo Avritzer, from the Federal University of Minas Gerais, commented on the Group B cases studies, noting that decentralization and devolution are significant aspects of reinventing government; however, there are other important considerations as well. Context is important. For example, the process of reinventing government in an established democracy will be different than it is in a country with a new democratic tradition. It will differ depending on whether or not the country has well established public sector institutions, on the size of the country, on whether it has a federal or unitary system. In learning from experiences in other jurisdictions, these considerations can provide guidance on what can readily be compared and what cannot. As well, public policies all differ, so each consensus-building approach will also be different. It is easier to engage citizens when the public policy issue provides a benefit to all citizens (e.g. Brazilian health care) than when it can be seen as a benefit to some and a detriment to others (e.g. homelessness, criminal justice).

In Brazil, after democratization, national conferences became spaces for government and civil society interaction in a few areas. Since 2003, they have become the primary participatory device to engage civil society in many areas. However, there are some risks associated with them. One risk is the possibility that special interest groups will gain control of the agenda. A second risk is that government will try to use a conference to push its own agenda.

In the course of discussion, the following points were raised:

- Using State authority to lever collective power does not necessarily mean devolving power and authority. The State can play a convenor role to bring various actors together to do what each does best.
- Social participatory process can be an important complement to representative democracy. They can allow learning to take place.
- There are many participatory models. The approach needs to be well thought through. There needs to be clarity up front about the process and the rules. But participatory mechanisms also need to be adaptive over time. Discussions can be messy and contentious, but that is part of the process and can help build civic results.
- Experimenting is essential to innovation. Excessive controls can have a paralysing effect on both.
- Measuring success in a participatory process can be difficult. The Canadian homelessness initiative, for example, did not solve the homelessness problem but was successful in engaging and retaining participation and support within the limits of the initiative, so was considered a success.

On the changes that are emerging in government authority in the context of an expanded public space, participants mentioned:

- Modern technology is transforming the relationship between government and citizens;
- Social networking and social media is changing the relationship between government and society and the relationships within and among governments;
- Open data is enabling citizens to programme government (e.g. interactive pothole register); and
- Different societies and countries react differently to these new technologies.

## **5. INTERVIEWING BRAZILIAN GOVERNMENT OFFICIALS**

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### **5.1 OVERVIEW OF INTERVIEWS**

Ronaldo Sardenberg, President of the Brazilian Telecommunication Agency (Anatel), as a senior public servant and career diplomat, highlighted some of the key factors in achieving good governance. Forecasting and long term planning and of the need for strong anticipatory capacity are all important in delivering public results. Examples of these activities include visioning and scenario planning exercises, which are used in various agencies in the Brazilian government. Involving of public servants, other actors and citizens in these exercises is important. It creates an environment for debate and consensus building. When choosing a preferred scenario, provisions for mid-term course correction should always be incorporated.

In responding to questions from participants, the following observations were made:

- Foresight exercises must have a practical use – that is, to guide government decision-making.
- Results of foresight exercises should be made publicly available (e.g., put the results on your web-site).
- Foresight exercises should be updated regularly.
- Achieving results through collaborative means can be challenging, but broad participation provides important inputs foresight exercises.
- Improving monitoring capacity is essential.



- It is important to establish a presence with political leadership. Public Servants need to be able to work with political leaders in the government in power and in the opposition. Learning to work with the Parliament or Congress is crucial.
- Leaders need good negotiating skills.

Pedro Vieira Abramovay, National Secretary of Justice in Brazil provided his perspectives on key factors in good governance. All three branches of government are implicated in good governance. In Brazil, democratic reforms stemming from the adoption of a new constitution in the late 1980s have focused on all of them, including the judiciary. Particular emphasis has been placed on supporting Congress as a place for national debate and creating the conditions for such debate to occur. Providing Congress with solid, independent data has been important in that regard.

In strengthening democracy, public participation processes have become increasingly important. One recent example is the National Conference on Public Security, which used ICT tools in the participatory process. This is part of what the new learning government authorities must do; they must learn how to "listen" using new tools such as Web 2.0. In another example, the Ministry of Justice used an Internet blog to propose, discuss and collectively elaborate a new Brazilian legal framework for internet governance. Organizing the elaboration of the bill in such a way turned a discussion on criminalizing what could be done on the Internet into a discussion of principles for use of the Internet, including the rights that should be protected. As a result of the public's input, the Ministry changed its initial bill for internet governance. This process increased the legitimacy and credibility of the bill sent to parliament.

In responding to questions from participants, the following observations were made:

- Increasing the use of collaborative processes is the only way of dealing with growing social complexity.
- It is possible to create space for dialogue and debate with diverse actors in participatory processes. Government must use different kinds of technology to dialogue with citizens and actors who have different interests and knowledge of the policy process (e.g., participatory processes that reached out to diverse actors, including aboriginal people, were used to develop a Bill of Rights for aboriginal inhabitants in Brazil and this led to the ability of government to regulate resource development on aboriginal territory effectively for all interests).
- Even if it is not possible to have everyone in the same room, decisions can still be democratic. ICT now provides new tools to hear everyone. It creates a collaborative way to make decisions and build bridges between a range of interests. As a result of using the Internet to engage citizens, ideas, solutions and interests were foreseen that had not previously been foreseen. New tools are supplements to old ones, they should not displace them.
- Participative processes are not a replacement for representative democratic processes, rather they are a complement. They are a new way for a greater diversity of participants to present arguments and ideas to inform democratic debate. In so doing, they create legitimacy for decisions. The first Brazilian National Congress on Public Security, for instance, created an

opportunity for rational debate in an area where it had not been previously possible.

## 5.2 LESSONS FROM INTERVIEWS WITH GOVERNMENT OFFICIALS

Following the interviews with government officials, the discussion turned to the lessons learned.

Participants noted that there will always be a place for government to act alone – when it can frame the issue and achieve the results by itself, when it has to make necessary, but unpopular decisions and when decisions call on belief systems and are not candidates for rational public debate and discussion. However, government's legitimacy to use its authority to act alone is declining in an increasing number of circumstances. Government must increasingly reach out to others. This is having a major impact on government, public sector institutions and public servants.

Communications technology is transforming society. In a world of social networking and social media, governments do not necessarily launch, nor are they able to control, all of these processes. Citizens are able to engage in public policy debates and to produce public results with and, in an increasing number of instances, without government.

Participative processes, real or virtual, are one way to open up space for debate, dialogue and collective action. They can bridge the gap between the information the public service has and information citizens have. They allow everyone to be better informed, which can lead to better public policy decisions, programs and services. They will influence and inform, not replace formal political institutions. They are a way to ensure civil society arguments arrive in parliament and can contribute to re-establishing legitimacy to decisions. They can also diminish demands on the judiciary when the last resort citizens have if they disagree with government decisions is to appeal to the courts.

While participatory and representative democratic processes can readily co-exist, public officials must determine in what circumstances and how they will use participative processes to tap the collective power to achieve public results. They need to closely consider how they will balance engagement activities with formal political accountability and how they can use engagement activities to complement and inform public and political debate. They will need to provide access ramps so that the diversity of views is heard and so that the voices of the strong do not overwhelm the voices of the weak.

If public servants are to engage directly with citizens and communities, they will need new skills. They will need the skills to convene, facilitate, negotiate and enable. They need to be able to deal with a wide range of views and perspectives coming from diverse actors and manage conflict. They will need to use modern communications tools and be capable of dealing with social networks and social media.

Increasing public dialogue and participatory processes help to decrease the asymmetries between government information and community information

allowing government authorities better understand social reality. But the State must ensure equitable access to the information held by government and other parties and to the participation processes themselves.

## 6. ROUNDTABLE SYNTHESIS

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Following a summary of the discussion by the rapporteurs, participants discussed some of the main thoughts that they would take away from the two days of discussion.

### 6.1 ON THE NEW SYNTHESIS PROJECT:

Participants noted that the *New Synthesis project* began with modest expectations. Recognizing that the “Classical” model of public administration, even with the revision of the New Public Management, does not adequately reflect the reality of current practice, the project set out to create a better narrative, supported by powerful examples, to help practitioners face the challenges of serving in the 21<sup>st</sup> century.

They acknowledged that strong institutional and organizational capacities are important elements of the framework and that, in developing a new framework, it will be important to preserve conventions and practices from the past that are of enduring value and to let go of or transform what is not.

They also noted that the new synthesis framework, when fully developed, will require a fundamental redesign of many processes – policy development, program delivery, service delivery, compliance and accountability. Governments will need to align their processes with other actors to achieve public results. Accountability for process will need to be complemented with accountability for results.

### 6.2 ON USING GOVERNMENT AUTHORITY AND COLLECTIVE POWER

Participants agreed that government has no choice but to innovate in the way it exercises its authority. It can no longer act only in traditional ways. In particular, it cannot solely rely on command-and-control approaches and it cannot continually “go it alone”. Rather, government must at times, and increasingly, use its authority and resources to engage the collective power of others. The choices governments make in this regard will be context, circumstance and mission specific.

Participants felt case studies were an important learning tool for those who are making these choices. However, case studies need to present more than success stories. Failures also need to be closely studied and presented so balanced learning can take place. They noted that government has many means at its

disposal for encouraging collective efforts in society. It can:

- use its convening power to assemble resources or promote public participation;
- create and support platforms for social experimentation and innovation;
- make public data available as a public good;
- be open to what emerges from collective power; and
- co-produce public goods with others.

Participants noted that a continuum of social participation processes (i.e., inform, consult, engage and co-produce) were all touched on to varying degrees during the roundtable. However, each of these approaches will need to be unpacked further in a final framework. They also felt that issues of co-production and "open data" had not yet received adequate attention.

## 6.3 ON SOCIAL PARTICIPATION AS A MEANS OF LEVERAGING COLLECTIVE POWER

They noted that participative processes and social media raised important questions about the role of public servants versus politicians. What public servants can and cannot do with these new processes and technologies warrants further consideration.

They noted that multiple forms of collaboration give rise to multiple forms of accountability for shared results. Shared accountability needs to be reconciled with traditional systems of accountability. This will need to be addressed in the final framework.

They felt that government needs to help build the capacity of other actors in order for them to interact effectively. It cannot just impose government processes (e.g., extensive reporting requirements) on other actors without preparing them.

## 6.4 ON INNOVATION

Participants agreed that there is innovation occurring in the public sector and that public servants do take risks, some of which end in failure. It was suggested that much of it is done by stealth. The successful innovations get exposed and the unsuccessful ones get buried. Yet, the important learning is often in the failures.

## 6.5 ON THE IMPLICATIONS FOR GOVERNMENT, PUBLIC SECTOR INSTITUTIONS AND PUBLIC SERVANTS

Participants noted that resilience in the public sector was once about resisting change and that it must now be about adapting to change. Traditionally public sector institutions were set up to endure; now they must be able to adapt. It was agreed that government, public sector institutions, public servants and society must co-evolve.

They agreed that society is in the midst of a major transition that is being driven by the changing nature of communications technology. One result is that citizens are turning less and less to their political representatives for their voice to be heard. Now, through the internet, they can join others who share their view to have a powerful voice.

## 7. CONCLUDING THOUGHTS

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Twenty seven practitioners, scholars and researchers from eight countries participated in the Brazil Roundtable. Their discussions were supported with pre-reading materials, expert presentations and case studies. Their discussions contributed to and enriched the exploration of a New Synthesis of Public Administration.

Some key ideas emerged from the presentations, case studies and discussions that will eventually be incorporated into a New Synthesis framework.

There was a general consensus on what changes are occurring in society:

- Modern communications technology and social networking are transforming society;
- Citizens are able to engage in public policy debates, interact and co-produce results with government and even produce public results without government. Government cannot control all the levers and processes;
- Government's legitimacy to act alone is declining in an increasing number of circumstances – many public results are a collective exercise that exceed the capacity of government acting alone;
- So, government must reach out to the collective power of others to achieve public results.

Participants also shared many ideas about what government, public sector institutions and public servants must do in response:

- Governments need to decide when to engage the collective power of others;

- They need to align their processes with the processes of others to achieve public results;
- They need to reconcile accountability for shared results with traditional accountability mechanisms;
- They need to reconcile their engagement activities with their accountability to politicians;
- They need to encourage social innovation while managing risk; and
- They need to continue to perform their stewardship role.

While strong on the what, the deliberations, to date, fall short on how. Participants agreed that the challenge for future roundtables will be to take a practitioner's perspective and to focus on the question of how practitioners might do what they are being called upon to do.

## ANNEX A: NAMES AND AFFILIATIONS OF INVITED SPEAKERS AND PARTICIPANTS

Pedro Vieira Abramovay, National Secretary of Justice, Brazil

Helena Kerr do Amaral, President, National School of Public Administration (ENAP), Brazil

Leonardo Avritzer, Professor, Federal University of Minas Gerais, Brazil

Rodrigo Ortiz Assumpção, President, Social Security Data Processing Company (Dataprev), Brazil

Jocelyne Bourgon, President Emeritus, Canada School of Public Service, President, Public Governance International and NS6 Project Leader, Canada

Gerard Van de Broek, Director, Knowledge Department, Ministry of the Interior and Kingdom Relations, The Netherlands

Silvio Crestana, Former President and Researcher, Brazilian Agricultural Research Corporation (EMBRAPA), Brazil

Cibele Franzese, Professor, Getúlio Vargas Foundation, Brazil

Katherine Graham, Professor, School of Public Policy and Administration, Carleton University, Canada

Brian Johnson, President, Gladeview Consulting Ltd., Canada

Lena Leong, Senior Researcher, Civil Service College, Singapore

James Low, Senior Researcher, Civil Service College, Singapore

Peter Milley, Senior Advisor, Canada School of Public Service and NS6 Research Director, Canada

Paula Montagner, Research Director, National School of Public Administration (ENAP), Brazil

Alan Nymark, Fellow, Queen's University, Canada

Lidewijde Ongering, Director General, Ministry of Transport, Public Works and Water Management, The Netherlands

Gordon Owen, Director General Partnerships and Best Practices, Canada School of Public Service, NS6 Coordinator for Canada

Laura Ibiapina Parente, Doctoral Candidate in Sociology, Université Marne-la-Vallée, President Itaca Consultoria e Pesquisa, Brazil

B. Guy Peters, Professor, University of Pittsburgh, United States

Conrado Ramos, Deputy Director, Presidential Office of Planning and Budget, Uruguay

José Mendes Ribeiro, Professor, National School of Public Health (ENSP), Brazil

Sue Richards, Professor and Senior Fellow, Institute for Government, NS&C Coordinator for the United Kingdom

Hironobu Sano, Professor, Federal University of Rio Grande do Norte, Brazil

Ronaldo Mota Sardenberg, President, Brazilian Telecommunication Agency (Anatel), Brazil

Edna Tan, Senior Strategist, Centre for Strategic Futures, Singapore

Yvonne Thomas, Operations Director and Director of Offender Management, Ministry of Justice, the United Kingdom

## **ANNEX B: LIST OF PRE-READING MATERIALS, PRESENTATIONS AND CASE STUDIES**

### **Papers**

Bourgon, Jocelyne with Peter Milley (2010) *The New Frontiers of Public Administration*. Public Governance International, Canada

Boyle, David and Michael Harris, (2009) *The Challenge of Co-Production: How Equal Partners Between Professionals and the Public are Crucial to Improving Public Services*. NESTA, the United Kingdom

Boyle, David, Julia Slay and Lucie Stevens (2010) *Public Services Inside Out: Putting Co-production into Practice*, NESTA, the United Kingdom

Peters, B. Guy (2008) *The Two Futures of Governing: Decentering and Recentering Processes in Governing*, Institute for Advanced Studies, Vienna, Austria

Sabel, Charles F. and Jonathon Zeitlin (2007) *Learning From Difference: The New Architecture of Experimentalist Governance in the European Union*, Robert M. La Follette School of Public Affairs, University of Wisconsin - Madison, Working Paper Series, Working Paper No. 2007-020, United States

Stephens, Lucie, Josh Ryan-Collins and David Boyle (2008) *Co-production: A Manifesto for Growing the Core Economy*, New Economics Foundation, the United Kingdom



## Presentations

Peters, B. Guy (2010) Roles of the State in an Emergent Model of Governance, United States

Ramos, Conrado (2010) Building Core Capabilities in an Emergent Model of Governance, Uruguay

## Case studies

Graham, Andrew (2010) Tackling Homelessness in Canada: The Federal Government's Homeless Partnership Strategy, Canada

Oliveira de Carvalho, Mariana S., Elisabete Ferrarezi, and Natalia Koga (2010) National Health Conferences and Participatory Processes in the Brazilian Federal Public Administration, Brazil

Ribeiro, José Mendes (2010) Brazil Public Health System and Mechanisms of Institutional Governance, Brazil

Richards, Sue and Yvonne Thomas (2010) Better Justice Outcomes Through a Citizen-centred Approach, the United Kingdom





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ISBN 978-0-9865609-5-8



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