



State Capacities for Infrastructure Policies in Contemporary Brazil

ALEXANDRE GOMIDE (IPEA)
ANA KARINE PEREIRA (UFG)

Foreword

Presentation based on a paper written for the Research Project conducted by IPEA on institutional constraints that impact the Brazilian State in the implementation of infrastructure projects

- Papers written for this project are being published as IPEA Discussion Papers
- A book is going to publish next year

Research problem

State activism renewal in many policy areas in Brazil

- In infrastructure sector several programs were launched: the largest one was the Growth Acceleration Program (PAC)

However, it was observed that the problem of investment in the sector was not only the lack of fiscal resources, but instead the government's capacity to make public investments

- several public works presented implementation difficulties, such as planning problems and budget overflows


In addition, the major infrastructure works implemented were not able to foster development opportunities in territories under intervention

- they were not capable to reverse trajectories of regional inequalities through the enhancement of local resources and specificities (social, economic and environmental)

Objective

To discuss the capacities of the Brazilian State to implement infrastructure projects and leverage new development dynamics in the territories under intervention

By new development dynamics we mean:

- the safeguard of minority groups' human rights (e.g. indigenous population)
 - the preservation of the environment and
 - improvements on the living conditions of people who inhabit the territories under intervention (e.g. providing basic social services)
- 

State Capacities: analytical framework

Dimensions	Criteria	Independent variables	Intermediate results	Final results
Bureaucratic capacity (internal)	<ul style="list-style-type: none">• Efficiency• Coherency	<ul style="list-style-type: none">• Professionalization• Autonomy• Cohesion	<ul style="list-style-type: none">• Intelligent choices• Projects with quality	<ul style="list-style-type: none">• Public works delivered on schedule and within budge
Relational capacity (external)	<ul style="list-style-type: none">• Legitimacy• Accountability	Relation with <ul style="list-style-type: none">• local social groups• Subnational governments• Control oversight bodies	<ul style="list-style-type: none">• Political support• Social learning	<ul style="list-style-type: none">• New development dynamics

Empirical material

Survey answered by more than two thousand federal civil servants who work in the infrastructure sector

Six case studies: public works implemented in the context of PAC in the areas of energy and transport

- Usina Termelétrica (UTE) de Candiota III
- BRT Sul do Distrito Federal
- Usina Hidrelétrica (UHE) de Teles Pires
- Pavimentação da BR-163/PA
- Linha 1 do Sistema Metroviário de Salvador e Lauro de Freitas (Metrô de Salvador)
- Ferrovia Nova Transnordestina

Findings - bureaucratic capacities

Federal public bureaucracy is qualified from the formal point of view, but with little working experience in the area of infrastructure – can the Brazilian State effectively train its bureaucrats?

Bureaucrats perceive a high level of political interference in decision-making processes – bureaucratic autonomy is threatened?

Little inter-sectoral bureaucratic interaction –bureaucratic coherence is low?

Professionalization

Tabela 5–Nível de escolaridade dos burocratas de infraestrutura

			Nível de Escolaridade			Total
			Fundamental e Médio	Graduação	Pós-Graduação	
Setor	Transporte	Total	1	140	313	454
		% em relação ao setor	0,2%	30,8%	68,9%	100,0%
	Energia	Total	6	40	113	159
		% em relação ao setor	3,8%	25,2%	71,1%	100,0%

Professionalization

Tabela 6 – Experiência dos burocratas de infraestrutura no Governo Federal

			Experiência em Infraestrutura no Governo Federal			Total
			Baixo	Médio	Alto	
Setor	Transporte	Total	246	194	24	464
		% em relação ao setor	53,0%	41,8%	5,2%	100,0%
	Energia	Total	67	56	33	156
		% em relação ao setor	42,9%	35,9%	21,2%	100,0%

Autonomy

Tabela 7 – Vínculo com a Administração Pública Federal

			Vínculo com Administração Pública Federal		Total
			Efetivo	Não-efetivo	
Setor	Transporte	Total	366	111	477
		% em relação ao setor	76,7%	23,3%	100,0%
	Energia	Total	91	84	175
		% em relação ao setor	52,0%	48,0%	100,0%

Autonomy

Tabela 10 – Percepção dos burocratas sobre o nível de interferência política

			Nível de Interferência Política				Total
			Baixo	Médio	Alto	Não se Aplica	
Setor	Transporte	Total	45	94	287	51	477
		% em relação ao setor	9,4%	19,7%	60,2%	10,7%	100,0%
	Energia	Total	30	41	75	29	175
		% em relação ao setor	17,1%	23,4%	42,9%	16,6%	100,0%

Cohesion

Tabela 12- Frequência de interação interburocrática

			Frequência de Interação Interburocrática			Total
			Baixo	Médio	Alto	
Setor	Transporte	Total	247	86	144	477
		% em relação ao setor	51,8%	18,0%	30,2%	100,0%
	Energia	Total	40	28	107	175
		% em relação ao setor	22,9%	16,0%	61,1%	100,0%

Findings - relational capacities

The relationship between public bureaucracy and external actors is marked by frequent interactions with private companies – but by the precarious dialogue with the local social groups

The dialog of bureaucracies with control oversight bodies is reduced – meaning low preventive actions to avoid illegality and corruption

The articulations between the federal and subnational governments are low – indicating that territories appear only as recipients of actions implemented by the federal government

Relation with local social groups

The main mechanism for social participation in decision-making is the public hearings that occur in environmental licensing process

Public hearings are rigid and superficial processes, performed only to meet formal requirements and often after major decisions have been made (Abers, 2016)

Relation with private companies

Tabela 13 – Frequência de interação da burocracia de infraestrutura com empresas privadas

			Interação com Empresas Privadas			
			Baixo	Médio	Alto	Total
Setor	Transporte	Total	181	67	229	477
		% em relação ao setor	37,9%	14,0%	48,0%	100,0%
	Energia	Total	79	19	77	175
		% em relação ao setor	45,1%	10,9%	44,0%	100,0%

Relation with control oversight bodies

Tabela 14 – Frequência de interação da burocracia de infraestrutura com órgãos de controle

			Frequência de Interação com órgãos de controle			Total
			Baixo	Médio	Alto	
Setor	Transporte	Total	354	47	76	477
		% em relação ao setor	74,2%	9,9%	15,9%	100,0%
	Energia	Total	108	16	51	175
		% em relação ao setor	61,7%	9,1%	29,1%	100,0%

Relation with subnational government politicians

Tabela 15 – Frequência de interação federativa da burocracia de infraestrutura

			Frequência de Interação Federativa (estados e municípios)			Total
			Baixo	Médio	Alto	
Setor	Transporte	Total	306	55	116	477
		% em relação ao setor	64,2%	11,5%	24,3%	100,0%
	Energia	Total	135	9	31	175
		% em relação ao setor	77,1%	5,1%	17,7%	100,0%

Preliminary conclusion

The professionalization of the public bureaucracy in infrastructure policy area is limited by low autonomy and precarious cohesion in action, suggesting barriers to state efficiency and delivery capacity

The relational capacity of the federal bureaucracies is low, suggesting barriers to the incorporation of institutional innovations during implementation of the projects capable of leveraging new development dynamics in the territories under intervention