

## PROPOSED ANALYSIS MODEL OF COLLABORATIVE MECHANISMS IN THE PUBLIC SECTOR

**Luna Marquez Ferolla**

*Universidade de São Paulo (USP)*

*Rua Aldo Focosi, 380 – Presidente Medici – Ribeirão Preto/SP - Brazil - Zip code: 14091-310*

E-mail: [lunamferolla@gmail.com](mailto:lunamferolla@gmail.com)

**João Luiz Passador**

*Universidade de São Paulo (USP)*

E-mail: [jlpassador@usp.br](mailto:jlpassador@usp.br)

### ABSTRACT

*The contemporary context of public administration presents an increasing complexity of demands, actors, institutions and relationships, requiring innovative responses, among which the possibility of collaboration stands out. In fact, this joint effort can occur in several ways: via partnering with external organizations, through the inclusion of the population in decision-making processes, among different levels of government, sectors of the same instance, or even agents involved in the same process. In this context, we present an analysis model for the existing collaboration processes in the public sector, identifying three main investigation dimensions: Participation, Representativeness and Publicity, along with the assessment criteria for each category.*

**Keywords:** *Collaboration; public management; analysis model; participation; representativeness; publicity*

### 1. PUBLIC MANAGEMENT IN THE AGE OF COMPLEXITY

The novel theoretical proposals and practical experiences arising in the field of public administration demonstrate an upcoming paradigm shift. Therein, the admittedly plural society starts requiring science for consistent explanations and solutions to its complexity. In effect, there is no room left for deterministic theories, and positivism has been gradually replaced by a new, less stable and secure, but yet, more humane and self-conscious perspective (Agostinho, 2003; Bauer, 1999; Morin, 1996; Serva, Dias & Alperstedt, 2010).

Having such reasoning transferred to the organizational field, organizations are now perceived as a complex adaptive system (Agostinho, 2003). Serva, Dias and Alperstedt, (2010) highlight the strengthening of the idea of transdisciplinarity associated with the plurality of the problems to be treated, whereby different approaches, methods and theories must be confronted systematically in finding complete solutions.

With that in mind, Bauer (1999) termed that new way of thinking the world, organizations and internal and external relationships inherent to any system as *organicist paradigm*. Accordingly, the author demonstrated that efficiency, balance and stability (pivotal concepts of the classical thought) have been replaced by effectiveness, appropriateness and flexibility.

The field of public administration, both in theory and practice, recognizes the need to upgrade the aforementioned new paradigm. In addition, it is also characterized by an institutional universe in rapid motion and increasing complexity (Martins, 2003). Parsons (1995) mentions the constructivist thinking according to which, replacing the idea of objective reality the idea of social construction influences agents and researchers in the field of public policy to consider citizens as active subjects in search of solutions, besides strengthening the idea of relativity.

Denhardt and Denhardt (2000) recognize that public administrators are involved with complex values, conflicting situations and multiple interactions as well as overlapping regulations. In addition, society has increasingly required action from governments while, at the same time, engages in the promotion of public policies as pointed out by Heidemann (2010). Amaral (2010, p. 9) adds: "it is about continually fostering transparency, engagement, societal participation, and shared responsibility for the common good."

The already extensive and still expanding demands of society in relation to the public administration, coupled with the relative scarcity of resources, require a dependable performance of public administration, not in the sense of efficiency, but improved coordination (Abrucio, 2007; Peters, 2000). In this sense, achieving the

required effectiveness acting alone is more and more challenging, either in regard to governmental levels or the sectoral divisions. In effect, contemporary demands cannot be understood in isolation; they are issues that need to be systemically understood since they are interconnected and interdependent (Junqueira, 2000, p. 36).

The public, when better informed, learns to recognize how different areas affect each other, then, accountability for results becomes shared (Peters, 2000). According to Paula (2005, p. 170), "It is about dealing with a complexity that requires a more strategic, cooperative, participatory and inclusive vision." Junqueira (2000, p. 36) notes that this new conception of the world "supports intuitive and non-linear thinking and the values of cooperation and partnership."

Thus, for public administration to be able to effectively intervene in such a complex social reality in terms of demands, players, institutions and relationships, the need for collaboration, here considered as a pivotal concept, is crucial. However, instituting random collaboration processes is not enough. In fact, meticulous efforts are needed to ensure the success of such actions. In this context, the present paper sought to build a model for the appreciation of the various existing collaboration processes in the public sector, identifying key dimensions of analysis and criteria to be observed in each of them.

The model was built based on a review of relevant national and international literature, as part of the dissertation of one of the authors. The construct is under the testing phase and has been applied within different areas of the public authority by constituents of the research group that holds the authors of the present paper as members.

## 2. THE EMERGENCE OF COLLABORATIVE PROCESSES

Invariably, the State is confronted by complex social demands, ambiguous relationships and conflicting interests. The manifold aspects of contemporary social problems require complete and articulated solutions between institutions addressing them (Inojosa & Junqueira, 2008; Westphal & Mendes, 2000).

Historically, however, governmental institutions have acted predominantly in isolation from each other, and yet, in a fragmented manner within their very structures. With that in mind, despite the multiplicity of players working for the promotion of public policies - or precisely because of that- there is no consolidated culture of interaction between them (Martins, 2003; Westphal and Mendes, 2000). Notably, a myriad of factors contribute the competitiveness among organizations and accentuate the problem of fragmentation. In this context, those components refer to the relative scarcity of public resources before social needs, the heterogeneity of the organizations involved in the political process, the pressure from international organizations, short-term orientation, and the lack of transparent mechanisms. Nevertheless, they all, fundamentally, work towards the same purpose: the public interest (Martins, 2003).

It is noteworthy that the incoordination between organizations and actions hinders social control. Besides, it results in overlapping duties, resource misuse, inefficiency and ineffectiveness (Luna, 2007; Martins, 2003). Hence, citizens are unable to identify clearly to whom they should place the liability for meeting their demands. These requirements, although integrated, are approached in a piecemeal fashion via programs under different levels of government, and even, under different institutions within the same instance (Inojosa; Junqueira, 2008; Westphal & Mendes, 2000). Therefore, collaboration proves itself advantageous when it comes to efficiency, effectiveness and legitimacy of public policies (Lundin, 2007).

Martins (2003) attributes the fragmentation of public policies to the absence three factors: coherence, consistency and coordination. The former indicates that policies should support each other, avoiding contradictions and overlapping. Coherence should exist in a horizontal, vertical, transversal temporal and sectoral basis. The second lies in the compatibility of the proposed policies. The third concerns the establishment of a set of formal arrangements and processes that promote cooperation (Martins, 2003). Peters (2000) assigns to coordination the prowess of securing that - both public and private- organizations accountable for public policies work together to avoid duplication and interference that may result in redundancy or breaches in solving the issues attacked.

There are several dimensions in which the need for collaboration manifests itself. As shown by Westphal and Mendes (2000), the complexity and uniqueness of social problems require an integrated treatment. Namely, that is the intersectionality of public programs, intergovernmental coordination and integration of public spheres with external organizations. Inojosa and Junqueira (2008) indicate that the decentralization of decisions is crucial. Nevertheless, that action must be coupled with strategies of articulation. Additionally, Peters (2000) emphasizes the importance of integration among stakeholders linked to the formulation and those who are responsible for the implementation of public policies. Meanwhile, Misztal (2001) points out that both formal

and informal mechanisms of interactional practices are needed to ensure the conditions for collaboration and engagement in the public sphere. In this perspective, the culture of trust, recognition of interdependence and reciprocity are relevant.

Lundin (2007) draws attention to the aspect of selectivity regarding the collaboration in general: although some might consider that as a panacea, the author demonstrates, via a compilation of several empirical research in addition to his studies, that collaboration is not desirable in any situation. In the context of collaboration, the type of public policy should be treated is a significant factor in analyzing whether or not it is necessary, and even, on what terms it shall take place, then having complexity as a key factor. The author points out that, similar to the benefits; the costs of collaboration relate to the complexity, insofar as the interaction among various players requires consensus, which could mean higher expenditures of time and energy into bargaining processes. Furthermore, significant - but unshared - goals can be ignored at the time that organizations concentrate on common scopes. Contrary to expectation, the interactions among dissimilar groups can also increase the risk of disputes, if not properly managed. However, the author states that the balance between the risks and benefits of cooperation is positive in high complexity situations (Lundin, 2007).

Collaboration<sup>i</sup> proves essential in promoting policies that address complex situations and can be established in various ways within the public administration structure, as illustrated in Figure 1. Markedly, either by partnering with external organizations, by the inclusion of the population in decision-making processes arranged among different levels of government, among sectors of the same instance, or even between the agents involved in the same process, increasingly different players operate together and this coalescence occurs through processes that value collaboration as a mechanism for the formulation, implementation and evaluation of public policies. The six types of latent collaborative public management are set below:

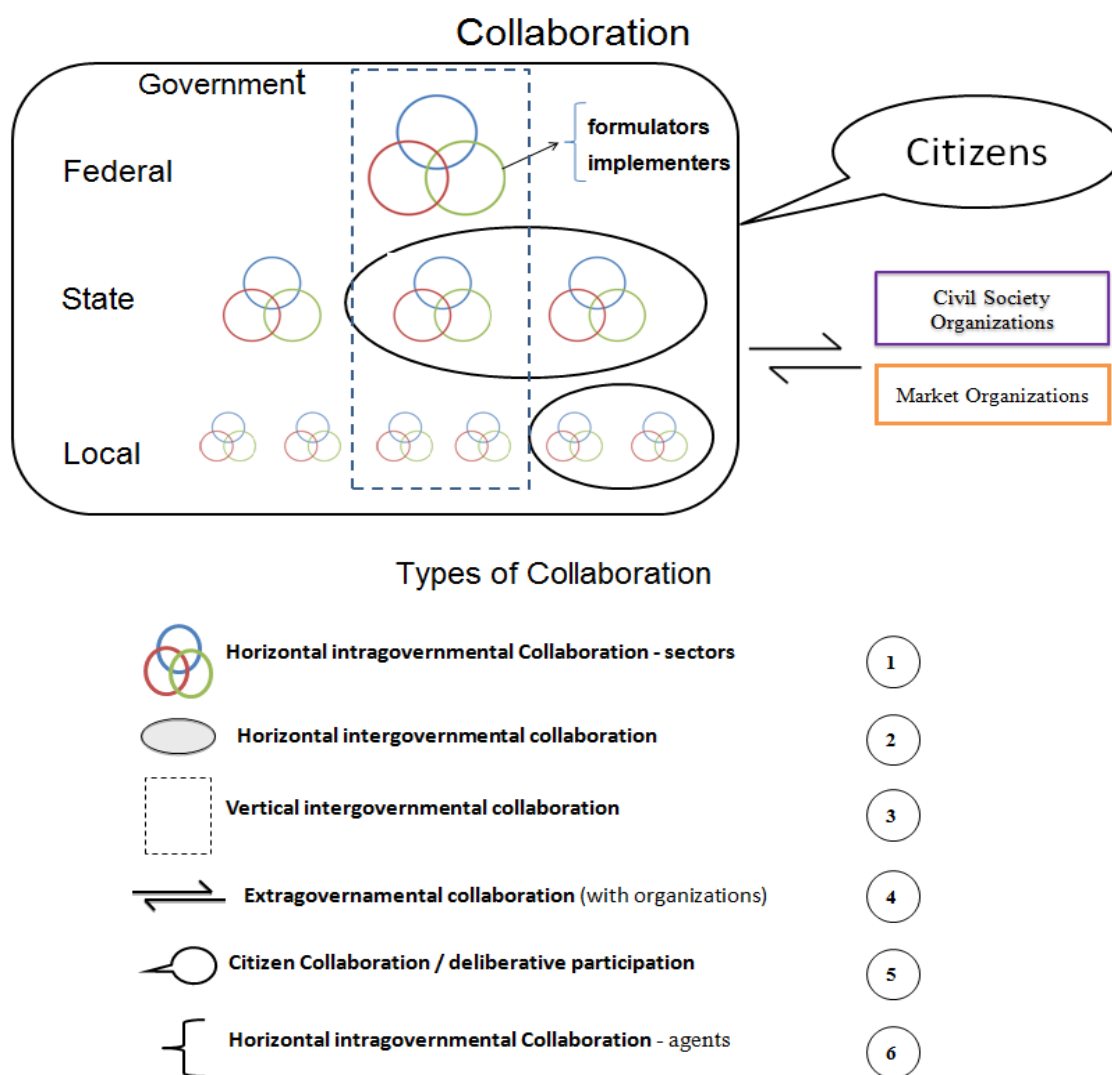


Figure 1 - Collaboration possibilities in the contemporary public administration

Accordingly, the six types of latent collaboration in public administration are clarified below:

1. **Horizontal intragovernmental Collaboration:** also standing as intersectionality, transversality, horizontal coordination. **Main features:** the "articulation of knowledge and experience in planning, implementing and assessing actions endeavoring integrated results in complex situations, seeking a synergistic effect on social development" (Junqueira, Inojosa & Komatsu, 1997, p. 24). For instance, **Brazilian examples:** *Bolsa Familia* (Family Aid program) (Bresser-Pereira, 2010), and the *Programa BH Cidadania* (Belo Horizonte Citizenship Program) (Ckagnaroff & Melo, 2006).
2. **Horizontal intergovernmental collaboration:** stands for partnerships between states or between municipalities. Frequently, they are formalized via public consortia. **Main features:** articulation and coordination of various federal entities within the same hierarchical level to share resources and information and to find similar solutions to shared problems. **Brazilian examples:** intermunicipal consortia such as Tietê-Paraná and Grande ABC Paulista (Cunha, 2004).
3. **Vertical intergovernmental collaboration:** coordination among hierarchical levels of government, which is especially relevant in federal systems due to administrative decentralization. **Main features:** the federal sphere is responsible for the preparation of legal and administrative guidelines. Meanwhile, states and municipalities are in charge of operating the services. Planning should be participatory and resources for each instance must be consistent with the delegated responsibilities. **Brazilian Example:** the Unified Health System (SUS) (Teixeira & Paim, 2000).
4. **Extragovernmental collaboration** (with organizations): termed the "publicization" after management reform. **Main features:** relations between government and the second and third sectors are currently formalized via management contracts or terms of the partnership. They are significant tools for expanding the social control, being found in greater frequency in the municipalities. **Examples:** Public-Private Partnerships (Abrucio & Pó, 2006); social assistance in most municipalities (Fischer & Falconer, 1998).
5. **Citizen Collaboration:** refers to the inclusion of citizens toward the formulation, implementation and evaluation of public policies, through processes that encourage and formalize deliberative participation. **Main features:** enhancement of dialogue seeking to rear public interest and societal empowerment. **Brazilian examples:** Management Councils, Participatory Budgeting, Thematic Forums (Cunha & Pinheiro, 2009; Wampler & Avritzer, 2004).
6. **Collaboration between formulators and implementers:** although less institutionalized, certainly not least. That concerns the breakdown of the traditional top-down perspective in public policies due to the recognition that implementation and formulation influence each other, requiring dialogue among its players. The existence and intensity of the before-mentioned collaboration shall vary according to the instance and the industry where the given public policy is established (Lundin, 2007).

### 3. ANALYSIS DIMENSIONS

Researchers devoted to the study of Collaboration enlist some requirements to promoting public policies as a measure of success. In simple terms, three of which are: *Participation*, *Representativeness*, and *Publicity*. Notably, there is a profusion of terms associated with each of those ideas, which are randomly either overlapping or complementing. In turn, *Publicity* is closely intertwined with accountability and transparency. Even *Participation* and *Representativeness* is intimately related. Indeed, the term *Collaboration* per se resembles cooperation, coordination, integration. Herein, the meaning attributed to each of these dimensions will become clearer after the explanation and clarification of the principles involved in each.

#### 3.1. Dimension 1 – Participation

Contemporary society shows increasing complexity, becoming more and more dynamic and flexible. As a result, changes occur in the relations between the public and the Government, as well as in the relations at inter and intra-institutional levels (Pieterse, 2001). In this context, democratic governments are forced to rethink their operating dynamics, reshaping structures, processes and relationships. One of the imperative new features refers to incorporating participatory processes in the formulation, implementation and execution of public policies.

Participatory processes endeavor at perfecting representative democracy by casting citizens as protagonists in prioritizing needs and developing solutions via deliberative mechanisms of direct democracy. Predominantly, the benefits of participation consist in strengthening citizenship and civil society (via empowerment and synergy), as well as the improvement of government accountability. The strengthening of citizenship involves the transforming passive and dependent persons in conscious and active citizens within the context of the legitimate proposition of demands to the government (Goldfrank, 2007). Lüchmann (2006), brings light to the pedagogical dimension of politics, emphasizing the educational character of participation, which by qualification and individual and collective awareness promotes the breakdown of the economic, social and political exclusion cycle.

Meanwhile, authors such as Crubellate (2004), Landau (2008) and Maia (2010) criticize the excessive appreciation of participatory processes. They argue that, in many cases, the existing hegemonic domination in society is reproduced in the allegedly participatory structures, resulting in a larger gap between citizens and the state, instead of the intended approach, but with the worsening of legitimation. Milani (2008), from the study of ten Brazilian and European experiences of participatory budgeting, echoed such criticism, however, noting that participatory processes can, in fact, fructify highly positive results, if supported by adequate infrastructure.

Pieterse (2001) emphasizes the value of participation is not only important in relation to the inclusion of civil society in deliberative processes. In effect, it also encompasses the concern with the connectivity and integration of all individuals involved in the promotion of public policies, individuals and organizations. Therefore, the various stakeholders shall be included in the negotiations concerning the disclosure of public documents, public-private partnerships, the institutionalization of civil society organizations, and public sector reform with a view to improving accountability - internal and external, vertical and horizontal.

Gregory, Fischhoff and McDaniels (2005) argue that the processes shall not have to follow a pattern. Notwithstanding, the authors argue that they must be flexible to adapt to the circumstances in which they are inserted, and should, however, provide three essential processes: a) institutionalization; b) content; c) context for integration and valuation.

Lüchmann (2006) argues that the institutionalization of processes is necessary to enforce transparency, publicity and social control. Wampler and Avritzer (2004) demonstrate that the legal formalization and the political valuation of participatory dynamics are essential to ensure its effectiveness.

As to the context, Gregory, Fischhoff e McDaniels (2005) observe the utmost importance that participants feel confident in respect to the actual influence of their inputs, and recognize the value of the other participants. According to the authors, citizens or agents of lower levels commonly feel ignored, while experts think that the involvement of non-professional opinions result in neglecting the scientific evidence while politicians shall treat the ritual as a mere formal obligation, not seriously considering that in their official decisions.

As solutions to such dilemma, Goldfrank (2007) suggests the equivalence of conditions between the various actors involved, which encourage participation; sufficient resources to justify the process and ensure concrete results, and an efficient bureaucracy to inspire confidence. Likewise, Boulding and Wampler (2010) mention the proportional relationship between the amount of managed resources via participatory processes with the effectiveness of the expected outcomes. Lüchmann (2006) adds the importance of political and governmental commitment as a necessary factor for the success of the participatory processes.

According to Gregory, Fischhoff and McDaniels (2005), in a favorable context, the well-structured institutional process should join the management of the content to be addressed. That raises the challenge of ensuring an effective, two-way communication: the fair presentation of the problems to the participants, including the translation of their positions into understandable terms to decision makers.

The creation of responsible deliberative processes involves: a) formal analysis of decisions, identifying the core of the most important information; b) communication procedures, recognizing the strengths and weaknesses of non-professional understanding; and c) interactive elicitation methods, helping individuals to articulate the implications of their values for specific purposes (Gregory, Fischhoff & McDaniels, 2005, P. 4).

The understanding concerning the issues that participants deal with requires both completeness and intelligibility. According to Gregory, Fischhoff and McDaniels (2005), ensuring these two content dimensions is crucial. That is because, it not only provides consistency between the participants' original volition before the decisions ultimately taken, but also prevents them from being manipulated by distinct interests of some stakeholders who, equally innocent, either detect part of the problem only or deliberately emphasize determined aspects.

Moreover, the authors note that the more complex the topic covered presents itself, the more sensitive its presentation shall be, together with the collective construction of its solutions, since unfamiliar choices require decision-makers to gradually build their preferences for the articulation from their basic values (Gregory, Fischhoff & McDaniels, 2005). The authors identify as requirements for minimum quality standards, the decision to be unambiguous, comprehensive, direct, understandable and operationally feasible.



In summary, we identified three basic assumptions on the dimension of participation: 1) the institutionalization, related to the legal formalization of participatory mechanisms and the political exploitation of the results of the collaboration processes; 2) the context, referring to the political dynamics inciting confidence in participants in relation to the process, as well as the proper availability and subsequent allocation of resources to meet the issues addressed; and 3) the contents, which requires fair presentation, being of interest for all parties involved, in other words, both the participants and the decision makers.

### 3.2. Dimension 2 - Representativeness

The second dimension identified as an essential premise of efficient collaboration is the *Representativeness* of those involved in the process. The Republican political model has its mainstay in the precepts of representative democracy. In this sense, the people, via the electoral process, give elected officials a mandate for them to "express to the popular will and make decisions on their behalf" (Dallari, 2002, p. 155). Nonetheless, that system has frequently proven unable to cope with the totality of relationships involving society and its political representatives (Avritzer, 2007; Lavalle, Houtzager & Castello, 2006). Accordingly, the aforesaid structure is subject to various forms of manipulation, and is sensitive to economic power and the influence of the media (Miguel, 2011). In fact, the accountability mechanisms appear to be equally fragile, "given the limited capacity of the represented ones to supervise their representatives, the faulty information flow, or commitments interposed with interests that are alien to those of the voters" (Miguel, 2011, p.51).

Nevertheless, although insufficient, the electoral mechanism is not dispensable and should be read in conjunction with other forms of representation (Lavalle, Houtzager & Castello, 2006). In that context, new models of representation arise within democratic societies, associated to the strengthening of civil society's organizations and the establishment of participatory deliberative processes, in which civil organizations are legally invested as representatives of determined populational segments to act alongside the formal political institutions (Avritzer, 2007; Lavalle, Houtzager & Castello, 2006).

The discussion regarding the representativeness does not start with the advent of participatory processes, but it is strengthened from them. The academic literature on the subject is concentrated on the field of the ideas, including few authors who, in most texts, are restricted to the critical analysis of the propositions of one another. Assuming that the present work does not seek a thorough examination of the theories of representation, we shall carry a succinct presentation of the main ideas included in the discussion, while identifying aspects that seem consensually essential to virtue of the new forms of representation. Lavalle, Houtzager and Castello (2006) warn that the debate must encompass both sides of the issue. Therein, both the formal institutional pole, addressing its political content as well as the substantive pole, as acting for the interest or benefit of the represented individuals are to be weighted in such reflections.

Initially, it is important to explain some concepts of representation found in the literature on the subject. The concept of Virtual Representation, discussed by Lavalle, Houtzager and Castello (2006) shows that there had been no formal authorization for the defense of their interests emanating from the represented ones. Thus, despite their awareness and even agreement to such representation, the individuals possess no stable communication and control mechanisms regarding their representatives. Avritzer (2007) elaborates a typology in which the representative can be an agent (chosen via electoral means, representative of people), an advocate (so called by themselves as such for the identification with the interests, then representative of "discourses and ideas") or a "partaker" (as in the organized civil society organizations, representatives of "themes and experiences"). The latter two legitimize themselves for the affinity with the defended interests or cause (Avritzer, 2007, p. 456). Miguel (2011) criticizes the validity of all these types of representation because they dispense with mechanisms that the author considers essential: authorization and accountability, besides the lack of guarantee of equality among those who are represented.

Based on previous research on representation, three basic premises have been identified, which must be present in regard to non-electoral political representation: legitimacy, equivalence, and deliberation power. It is noteworthy that, despite the enhanced light on such premises regarding the collaboration between government and society - citizens or organizations- *representatives* is also an essential element in other types of collaboration. In this sense, the individuals who shall take part in inter-organizational dialogues must be adequately and sufficiently empowered in order to assert the agreed negotiations.

The first issue concerns the legitimacy: in a representative democracy, legitimacy occurs via mandate, the authoritative command given to rulers by the electoral process, with characteristics such as the territorial monopoly, the separation between representative and represented, formal accountability mechanisms (Avritzer,

2007; Dallari, 2002; Lavallo, Houtzager & Castello, 2006b). In participatory models, however, such aspect is rather controversial and still needs clear definition.

According to authors such as Avritzer (2007), Lavallo, Houtzager and Castello (2006), Lüchmann (2007), the determination of representativeness via authorization and accountability is no longer necessary while more and more players outside the governmental system assume significant roles on behalf of citizens within the public policies process, acting as representatives, even under the absence of the mentioned criteria.

At the opposite pole, Miguel (2001) strongly recriminates the absence of authorization and formal accountability mechanisms, hindering the control that the represented should exercise over their representatives, which would leave the former exposed or dependent on the latter's "good will" regardless of the whole array of problems thereof.

For the authors of this paper, the matter is differentiated in two moments: at the time of agenda setting, when any effort to "show up" is valid, the authorization is dispensable. However, in later stages, especially about the formulation and evaluation, authorization is indispensable. Hence, we agree with Lüchmann (2007), when the author states that the legitimacy of representation requires authorization and requires the active participation of citizens, groups and organizations represented.

The second relevant issue refers to the need for a balance between those involved in the participatory process, representing and valuing the diversity of features and opinions. First, in virtue of the idea that the plurality of viewpoints shall enhance the understanding towards reality (Miguel, 2011). However, the author (p. 36) warns that "the presence of members of subaltern groups in decision-making spaces does not automatically guarantee an effective plurality of perspectives." That is due to the homogenizing influence of the political field, whose norms of the bureaucratic process impose that subordinate groups choose between authenticity and effectiveness, dissipating the differences that should be represented at such place. In this context, the balance of conditions proves essential not only for the complementarity of perspectives, but as a guarantee of a better distribution of the political capital, which, as well as the economic and cultural capital, increases the possibility of the exercise of power.

Lüchmann (2007) argues that the inequality of resources (such as income and education, in the case of individuals, or technical knowledge for organizations) also reflects the inequality of political power, leveling off the influences of each participant regarding the results of the decision-making process. Thus, equivalent conditions of information and penetration in institutional apparatuses should be assured. Miguel (2011) agrees, observing that:

That is the very context that highlights the third point identified as crucial in respect to representation, although connected to it in a less direct way: the power of deliberation. As related to both the method and the content of collaborative processes, this aspect involves the actual influence of the participants in the elaboration, implementation and control of public policies. The topics covered must be flexible enough to allow adjustments in light of the needs of the parties represented by each participant, as well as the standards set should provide conditions for the formalization of such changes. In the case of the absence of those conditions, the representativeness of the parties involved are insufficient. This aspect is crucial within intersectoral collaboration situations and among various government levels, when differences between collaborators can be substantial.

In summary, *Representativeness* can be assessed through three aspects: 1) legitimacy, linked to the authorization mechanisms, accountability and responsibility of the represented; 2) balance between participants by valuing diversity and minimizing the homogenizing pressures; and 3) the power of deliberation, which depends on the flexibility of the proposals for adjustments and the possibility of formalizing decisions.

### 3.3. Dimension 3 – Publicity

In the full force of the knowledge age, in which constant technological innovations progressively leverage the importance of information as an instrument of power (Gomes Filho, 2005), there are various authors and politicians who realize the growing importance of providing information and improving communication processes in general. Armstrong (2005) points out that in a survey conducted by the UN (United Nations), several of the participating countries identified the concepts of integrity, transparency and accountability, together or individually, as the basic principles of quality public administration.

According to Filgueiras (2011), Loureiro, Teixeira and Prado (2008), and Michener and Bersch (2011), albeit not enough, government transparency is fundamental to democratic consolidation insofar as it enables the

effective social control. Goldfrank (2007) states that improving transparency implies that the actions and decisions of the state are then made explicit publicly, as well as the reasons that led to them, thus reducing the opportunity for corruption and clientelism.

Much of the discussion in this field spins around the applied terms and their meanings. Within this terminology, the most used terms include transparency, accountability and publicity. As a matter of fact, the understanding of the term "accountability" is complex for speakers of languages other than English, and concerning the present work, especially the Brazilians (whose native language is Portuguese). With this in mind, the very massive use of the term *Accountability* in English, instead of using one of the several possible correlated words in Portuguese such as "*prestação de contas*" (the proof that the funds were well used), "*responsabilização*" (imputing the appropriate responsibility to the due person) or even "*transparência*" (accessibility to information, in the sense that all procedures were performed with integrity and fairness) is an indicative of that complexity. Campos (1990), and Pinho and Sacramento (2009) realized that the difficulty in finding a suitable term in the Portuguese language to discuss accountability stems from the fact that we, Brazilians, are not accustomed to the concept represented by the word, because of the fragility of our democratic processes. As shown by Michener and Bersch (2011), the "*transparência*" would be a prerequisite, a mechanism for facilitating of accountability, not an end in itself, but a means to improve the "*prestação de contas*" and the "*responsabilização*".

"Transparência" refers to unrestricted public access to reliable and current information about decisions and public sector performance. Accountability refers to the obligation on the part of public officials from reporting themselves as to the use of public resources and respond as the failure to achieve the performance goals established (Armstrong, 2005, p. 1)

Markedly, *publicity*, the term of choice to be used in the present paper, must not be confused with the traditional principle of publicity, constitutionally inserted in administrative law. That refers to the obligation imposed to the public power to disclose certain information, which, incidentally, is not adequately fulfilled (Gomes Filho, 2005). Still, we seek a broader sense, embracing not only the attention towards the issuance of the information, but also caring for its understanding, evaluation and utilization by receptors (Filgueiras, 2011; Gomes Filho, 2005). The notion of publicity employed here encompasses the cognitive issue of production and dissemination of information, as established by Filgueiras (2011).

Quite often, publicity requires transparency, but it goes beyond for being a principle of authority. As such, it obliges that the representative processes of democracy are organized on equitable conditions in which, at the light of the plurality of interests and differences in social status, the institutions equally consider the interests of the different citizens (Filgueiras, 2011, p. 84).

Another feature we have incorporated in our conception of *publicity* refer to the idea presented by O'Donnell (1998), about the need for complementarity of vertical and horizontal dimensions. Although the referred proposal had been developed for the concept of accountability. That is useful to us for explaining that, in addition to the responsibility of public power by the people, there must be reciprocal controls among intragovernmental powers or institutional mechanisms of the same hierarchical level (Loureiro, Teixeira & Prado, 2008; O'Donnell, 1998). Then, we suggest the expansion of the proposal to the transversal level among agencies of different instances. Transferring this idea to publicity means that public information should be made available to all stakeholders, whether they are individuals or organizations, citizens or state agents. Such disclosure should be performed considering accessibility, the contents and understandability of the information, in order to promote the emancipatory use of this information (Michener & Bersch, 2011).

As to Gomes Filho (2005), a policy of effective publicity should consider the willingness to inform, aiming to remove obstacles to information access by those over whom power is exercised (which we refer to as accessibility) and to provide enough information for the full unveiling of power before those on whom it is exercised (which we refer to as understandability). Furthermore, we need to add the concern with the contents, which must be meaningful, real, complete and updated (Welch & Wong, 2001).

In the view of Welch and Wong (2001), accessibility relates closely with the use of electronic tools and the internet, which should be concerned with two issues: reach and interactivity. The authors indicate that the extent of transparency in government websites includes five aspects: ownership, contact information, operational or organizational information, citizen consequences and freshness.

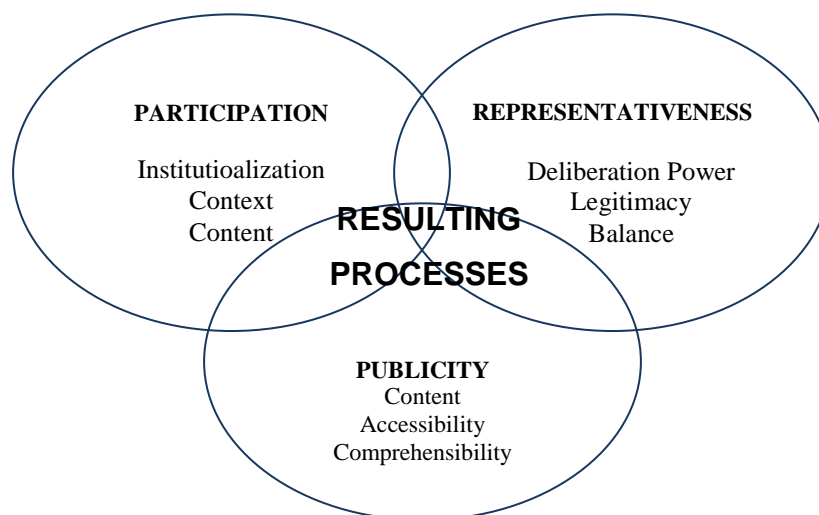


In regard to understandability, Filgueiras (2011) points out that the mere disclosure of processes and public documents to society does not mean that citizens are able to process them. Sometimes the public uses such information in a strictly instrumental way. Etzioni (2010) agrees by stating that the amount of information disclosed has no connection with its quality, which is ultimately responsible for the possibility of critical appreciation by the population. Michener and Bersch (2011) corroborate this consideration, by proposing the concept of inferability, which means the ability to produce accurate inferences from the information available. To the authors (p. 2): "[...] information is more useful and more easily verified when presented in the rawest form as possible, being verified by third party mediators, and contains mechanisms for simplification, such as labels or notes."

In summary, it was shown that the dimension of publicity may be classified according to three criteria: 1) accessibility, which includes the provision of information and the reduction of costs and barriers to access; 2) contents which must be faultless and updated; and 3) understandability, which concerns the adequacy of the presentation of information available to the public, regarding aspects such as language and format.

### 3.4. Conceptual integration of the analysis dimensions

Notably, one can perceive the potential of collaboration as a way of dealing with contemporary social demands, set in a high complexity context, in which it expresses the need for integration and cooperative decision processes. For a better understanding the dynamics of collaboration processes, we have identified three dimensions of analysis and present its basic premises. Figure 2 consolidates and supersedes the dimensions of analysis presented, stressing that they must all be observed both in the established processes for collaboration in the formulation, implementation and evaluation of public policies, and the results obtained by the programs and actions implemented.



**Figure 2 - Conceptual Integration of the Analysis Dimensions**

## 4. FINAL CONSIDERATIONS

The collaboration was presented as an innovative and promising trend in public administration, endogenous and exogenous, vertical and horizontal levels, with the caveat of being more suited to complex situations, when the cost-benefit ratio for its implementation is satisfactory. It was argued, however, establish collaborative processes is not enough. Some aspects are essential to guarantee the success of these processes, which have been summarized here in three dimensions identified as participation, representation and publicity. It is worth recalling that those criteria must be analyzed both in view of the processes of operationalization, and the results of collaborative actions.

Below, Table 1 comprises a summary of the proposals dimensions as background information towards different forms of collaboration that can happen throughout the process of promoting public policies, occurring in complex environments. Again, these criteria must be analyzed both in relation to the processes of operationalization, and outcomes of collaborative actions.

Finally, It is noteworthy that studies on collaboration in the public sector focus mainly on the relationship between the public sector and civil society. Therefore, some features seem more devoted to those situations. Nevertheless, we consider the issues identified in each dimension valid for all types of collaboration studied,

safeguarding their proper proportions. For example, the importance of legitimate representation shows itself more clearly in the dimension of collaboration with citizens, but is not inconsiderable in the case of intergovernmental collaborations, when assigned to participate in inter-organizational dialogues individuals should be adequately and sufficiently empowered to enforce the agreed negotiations. Likewise, the importance of institutionalizing participatory processes evidently clear in the case of extra-governmental collaboration, is also essential, although less present in the case of intra-government collaboration, as formalization and valuation of the interaction between agents and sectors.

| Dimension          | Criterion                    | Meaning  | Main Authors  |
|--------------------|------------------------------|--|---|
| PARTICIPATION      | Institutionalization         | Legal formalization; Political valuation   | Avritzer<br>Goldfrank<br>Gregory<br>Wampler                         |
|                    | Context                      | Process that encourages confidence; resource provision.  |   |
|                    | Content                      | Fair presentation; interesting for participants; interesting for decision makers   |   |
| REPRESENTATIVENESS | Legitimacy                   | Authorization; Accountability/“ <i>prestação de contas</i> ”.<br>Accountability/“ <i>responsabilização</i> ” of those represented. | Avritzer<br>Lalavallet al<br>Miguel<br>Lüchman                      |
|                    | Balance between participants | Valuing diversity; minimization of homogenizing pressures.   |   |
|                    | Deliberation Power           | Flexibility of proposals for adjustments; Possibility of formalizing decisions.  |   |
| PUBLICITY          | Accessibility                | Availability;<br>Absence of barriers to access and costs.  | Filgueiras<br>Gomes Filho<br>Loureiro<br>Michener<br>Welsh and Wong |
|                    | Content                      | Completeness;<br>Updating.   |   |
|                    | Comprehensibility            | Format;<br>Language;<br>Appropriateness to the public.   |   |

**Table 1** - Analysis Dimensions for the assessment of collaboration processes

## REFERENCES

- ABRUCIO, F. L. (2007). Trajetória recente da gestão pública brasileira: um balanço crítico e a renovação da agenda de reformas. *Revista de Administração Pública (RAP)*, Edição comemorativa, p. 67-86.
- ABRUCIO, F. L.; PÓ, M.V. (2006) Desenho e funcionamento dos mecanismos de controle e accountability das agências reguladoras brasileiras: semelhanças e diferenças. *Revista de Administração Pública (RAP)*, v. 40, p. 679-698.
- AGOSTINHO, M. C. E. (2003) “Administração complexa”: revendo as bases científicas da administração. *RAE Eletrônica*, v. 2, n. 1, p. 1-18.
- AMARAL, H. K. (2010). Apresentação à Edição Brasileira. In: PETERS, B. GUY; PIERRE, J. (Eds.). *Administração pública: coletânea*. São Paulo / Brasília: Editora UNESP / Editora ENAP. p. 9-10.
- ARMSTRONG, E. (2005) Integrity, transparency and accountability in public administration: recent trends, regional and international developments and emerging issues. *Economic & Social Affairs*, n. August, p. 1-10.
- AVRITZER, L. (2007) Sociedade civil, instituições participativas e representação: da autorização à legitimidade da ação. *Dados - Revista de ciências sociais*, v. 50, n. 3, p. 443-464.
- BAUER, R. *Gestão da mudança: caos e complexidade nas organizações*. São Paulo: Atlas, 1999.
- BOULDING, C.; WAMPLER, B. (2010) Voice, Votes, and Resources: Evaluating the Effect of Participatory Democracy on Well-being. *World Development*, v. 38, n. 1, p. 125-135.

- BRESSER-PEREIRA, L. C. (2010). Democracia, Estado social e reforma gerencial. *Revista de administração de empresas (RAE)*, v. 50, n. 1, p. 112-116.
- CAMPOS, A. M. (1990) Accountability: quando poderemos traduzi-la para o português? *Revista de Administração Pública (RAP)*, v. 24, n. 2, p. 30-50.
- CKAGNAROFF, I. B.; MELO, J. S. C. (2006) Um estudo de intersetorialidade em políticas públicas - o caso BH Cidadania. *II Encontro Nacional de Administração Pública e Governança*. São Paulo: ANPAD.
- CRUBELLATE, J. M. (2004) Participação como controle social: uma crítica das estruturas organizacionais flexíveis. *RAE Eletrônica*, v. 3, n. 2, p. 20.
- CUNHA, E. S. M.; PINHEIRO, M. M. B. (2009) Conselhos nacionais: condicionantes políticos e efetividade social. In: AVRITZER, L. (Ed.). *Experiências nacionais de participação social*. São Paulo: Cortez Editora.
- CUNHA, R. E. (2004) Federalismo e relações intergovernamentais: os consórcios públicos como instrumento de cooperação federativa. *Revista do Serviço Público*, v. 55, n. 3, p. 5-36.
- DALLARI, D. A. (2002) *Elementos de teoria geral do Estado*. 23ª ed. São Paulo: Saraiva.
- DENHARDT, R. B.; DENHARDT, J. V. (2000) The New Public Service: Serving Rather than Steering. *Public Administration Review*, v. 60, n. 6, p. 549-559.
- ETZIONI, A. (2010) Concepções alternativas de accountability. In: HEIDEMANN, F. G.; SALM, J. F. (Eds.). *Políticas públicas e desenvolvimento: Bases epistemológicas e modelos de análise*. 2ª ed. Brasília: Editora Universidade de Brasília, p. 287-300.
- FILGUEIRAS, F. (2011) Além da transparência: accountability e política da publicidade. *Lua Nova*, v. 84, p. 353-364.
- FISCHER, R. M.; FALCONER, A. P. (1998) Desafios da parceria governo e terceiro setor. *Revista de Administração*, v. 33, n. 1, p. 12-19.
- GOLDFRANK, B. (2007) The Politics of Deepening Local Democracy and Participation. *Comparative Politics*, v. 39, n. 2, p. 147-168.
- GOMES FILHO, A. B. (2005). O desafio de implementar uma gestão pública transparente. *X Congresso Internacional del CLAD sobre la Reforma del Estado y de la Administración Pública*. Santiago: CLAD.
- GREGORY, R.; FISCHHOFF, B.; MCDANIELS, T. (2005). Acceptable Input: Using Decision Analysis to Guide Public Policy Deliberations. *Decision Analysis*, v. 2, n. 1, p. 4-16.
- HEIDEMANN, F. G. (2010). Do sonho do progresso às políticas de desenvolvimento. In: HEIDEMANN, F. G.; SALM, J. F. (Eds.). *Políticas públicas e desenvolvimento: Bases epistemológicas e modelos de análise*. 2ª ed. Brasília: Editora Universidade de Brasília. p. 23-40.
- INOJOSA, R. M.; JUNQUEIRA, L. A. P. (2008). Práticas e saberes: desafios e inovações em gestão social. *Organizações & Sociedade*, v. 15, n. 45, p. 171-180.
- JUNQUEIRA, L. A. P. (2000). Intersetorialidade, transetorialidade e redes sociais na saúde. *Revista de Administração Pública (RAP)*, v. 34, n. 6, p. 35-45.
- JUNQUEIRA, L. A. P.; INOJOSA, R. M.; KOMATSU, S. (1997). Descentralização e intersetorialidade na gestão pública municipal no Brasil: a experiência de Fortaleza. *XI Concurso de Ensayos del CLAD*. Caracas: CLAD.
- LANDAU, M. (2008). La participación en las políticas públicas y los límites de la metáfora espacial. *Política y Cultura*, v. 30, p. 67-89.
- LAVALLE, A. G.; HOUTZAGER, P. P.; CASTELLO, G. (2006). Democracia, pluralização da representação e sociedade civil. *Lua Nova*, v. 67, p. 49-103.
- LOUREIRO, M. R.; TEIXEIRA, M. A. C.; PRADO, O (2008). Construção de instituições democráticas no Brasil contemporâneo: transparência das contas públicas. *Organizações & Sociedade*, v. 15, n. 47, p. 107-119.
- LÜCHMANN, L. H. H. (2006). Os sentidos e desafios da participação. *Ciências Sociais Unisinos*, v. 42, n. 1, p. 19-26.
- LUNA, R. B. (2007). *Integração Horizontal de Ações Governamentais*. 2007. 130 f. Dissertação (Mestrado em Administração Pública e Governo) - Escola de Administração de Empresas de São Paulo, Fundação Getúlio Vargas. São Paulo: FGV.
- LUNDIN, M. (2007). When does cooperation improve public policy implementation? *Policy Studies Journal*, v. 35, n. 4, p. 629-652.
- MAIA, R. C. M. (2010). O papel democrático da sociedade civil em questão. *Lua Nova*, v. 81, p. 147-174.
- MARTINS, H. F. (1997). Burocracia e a revolução gerencial — a persistência da dicotomia entre política e administração. *Revista do Serviço Público*, v. 48, n. 1, p. 42-78.
- MARTINS, H. F. (2003). *Uma Teoria da Fragmentação de Políticas Públicas: Desenvolvimento e Aplicação na Análise de Três Casos de Políticas de Gestão Pública*. 2003. 258 f. Tese (Doutorado em

- Administração Pública)-Escola Brasileira de Administração Pública e de Empresas, Fundação Getúlio Vargas. São Paulo: FGV.
- MICHENER, G.; BERSCH, K. (2011). *Conceptualizing the quality of transparency*. Newark: 1st Global Conference on Transparency.
- MIGUEL, L. F. (2011). Representação democrática: autonomia e interesse ou identidade e advocacy. *Lua Nova*, v. 84, p. 353-364.
- MILANI, C. R. S. (2008). O princípio da participação social na gestão de políticas públicas locais: uma análise de experiências latino-americanas e europeias. *Revista de Administração Pública (RAP)*, v. 42, n. 3, p. 551-579.
- MISZTAL, B. A. (2001). Trust and cooperation: the democratic public sphere. *Journal of Sociology*, v. 37, n. 4, p. 371-386.
- MORIN, E. (1996). *Ciência com consciência*. Rio de Janeiro: Bertrand Brasil.
- O'DONNELL, G. (1998). Accountability horizontal e novas poliarquias. *Lua Nova*, v. 44, p. 27-54.
- PARSONS, W. (1995). *Public policy: an introduction to the theory and practice of policy analysis*. Cheltenham, Northampton: Edward Elgar.
- PAULA, A. P. (2005). *Por uma nova gestão pública: limites e potencialidades da experiência contemporânea*. Rio de Janeiro: Editora FGV. p. 204
- PETERS, B. G. (2000). Policy Instruments and Public Management: Bridging the Gaps. *Journal of Public Administration Research and Theory*, v. 10, n. 1, p. 35-47.
- PIETERSE, J. N. (2001). Participatory democratization reconceived. *Institute of Social Studies*, v. 33, p. 407-422.
- PINHO, J. A. G.; SACRAMENTO, A. R. S. (2009). Accountability: já podemos traduzi-la para o português? *Revista de Administração Pública (RAP)*, v. 43, n. 6, p. 1343-1368.
- SERVA, M.; DIAS, T.; ALPERSTEDT, G. D. (2010). Paradigma da complexidade e teoria das organizações: uma reflexão epistemológica. *Revista de Administração de Empresas (RAE)*, v. 50, n. 3, p. 276-287.
- TEIXEIRA, C. F.; PAIM, J. S. (2000). Planejamento e programação de ações intersetoriais para a promoção da saúde e da qualidade de vida. *Revista de Administração Pública (RAP)*, v. 34, n. 6, p. 63-80.
- WAMPLER, B.; AVRITZER, L. (2004). Participatory Publics Civil Society and New Institutions in Democratic Brazil. *Comparative Politics*, v. 36, n. 3, p. 291-312.
- WELCH, E. W.; WONG, W. (2001). Global information technology pressure and government accountability: the mediating effect of domestic context on website openness. *Journal of Public Administration Research and Theory*, v. 11, n. 4, p. 509-538.
- WESTPHAL, M. F.; MENDES, R. (2000). Cidade saudável: uma experiência de interdisciplinaridade e intersetorialidade. *Revista de Administração Pública (RAP)*, v. 34, n. 6, p. 47-61.

---

<sup>i</sup> The core concept of this work has previously been termed in the literature as *integration, cooperation, collaboration, coordination, participation, intersectorality*, among others. In this sense, the term *collaboration* was chosen due to the breadth and flexibility in the application of its meaning, thus adapting itself to all processes identified.