

## **Estado e Governo (3 créditos)**

**Profs. Argelina Figueiredo e Celina Souza**

**Horário: Terça-feira, das 13 às 16 horas**

**Consultas: A combinar com as professoras**

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### **Objetivo e Ementa**

O curso tem o objetivo de introduzir questões relacionadas aos instrumentos necessários ao funcionamento do Estado e ao desempenho dos governos na implementação de suas políticas.

Os temas selecionados serão examinados à luz de teorias e abordagens analíticas diversas e sob uma perspectiva histórica e comparada.

As seções combinarão aulas expositivas e seminários, requerendo a leitura prévia dos textos obrigatórios a serem indicados previamente. A avaliação será feita de duas formas: 1) cada aluno ficará responsável pela apresentação de uma revisão crítica de três textos ao longo do semestre, que circulará entre os colegas previamente à sua discussão em aula; 2) cada aluno deverá fazer um trabalho final a ser definido no decorrer do curso. Cada uma dessas avaliações representará 50% da nota final.

Aula 1 – Apresentação do curso

Aula 2- Formação do Estado: teorias concorrentes sobre a centralização do poder

Aula 3 – Formação do Estado na América Latina

Aula 4 – Capacidade do Estado: dimensões e componentes

Aula 5 - Capacidade do Estado: arrecadação de tributos

Aula 6 – A política do orçamento público

Aula 7 – Capacidade burocrática

Aula 8 – Teorias da burocracia: visões concorrentes

Aula 9 – O papel da burocracia na provisão de serviços públicos

Aula 10 – Burocracia e política: controle político e accountability

Aula 11 – Burocracia e política (cont.)

Aula 12 – Burocracia: uma visão comparada

Aula 13 – Burocracia: Brasil

Aula 14- Controle das políticas públicas

Aula 15 – Conclusão e revisão

### **Aula 1 – Apresentação do curso**

#### **Aula 2- Formação do Estado: teorias concorrentes sobre a centralização do poder**

Tilly, Charles (2006) "Why and How History Matters", in Goodin. R. e Tilly, C. (eds.) *The Oxford Handbook of Contextual Political Analysis*. Oxford: Oxford University Press, pp. 417-453.

Tilly, Charles (1985) "War Making and State Making as Organized Crime", in Evans et al. (eds) *Bringing the State Back In*. New York: Cambridge University Press, pp. 169-191.

Silberman, B. (1993) *Cages of Reason: The Rise of the Rational State in France, Japan, the United States, and Great Britain*. Chicago, IL: Chicago University Press.

Elias, Norbert (1970) "Processes of State Formation and Nation Building" ([www.usyd.edu.au/su/social/elias/state.html](http://www.usyd.edu.au/su/social/elias/state.html))

Levi, Margaret (1988) *Of Rule and Revenue*. Berkeley, CA: California University Press.

#### Complementar:

Tilly, C. (ed.) (1975) *The Formation of National States in Western Europe*. Princeton, NJ: Princeton University Press.

### **Aula 3 – Formação do Estado na América Latina**

Ianni, Octavio (1987) "A Questão Nacional na América Latina", *Estudos Avançados*, pp. 1-40.

O'Donnell, Guillermo (1993) "On the State, Democratization and Some Conceptual Problems: A Latin American View with Glances at Some Postcommunist Countries", *World Development* 21 (8), pp. 1355-1369.

Thies, Cameron (2005) "War, Rivalry, and State Building in Latin America", *American Journal of Political Science* 49 (3), pp: 451-465.

Centeno, Miguel A. (1997), "Blood and Debt: War and Taxation in Nineteenth-Century Latin America," *American Journal of Sociology*, 102(6): 1565-605.

Mann, Michael (2002) "The Crisis of the Latin American Nation-State"  
([www.sscnet.ucla.edu/soc/faculty/mann/colombia.pdf](http://www.sscnet.ucla.edu/soc/faculty/mann/colombia.pdf)).

### **Aula 4 – Capacidade do Estado: dimensões e componentes**

Evans, Peter B. 1993. "O Estado como problema e solução". *Lua Nova Revista de Cultura e Política* n. 28/29: 107-156.

Grindle, Merilee (1997) "The Good Government Imperative: Human Resources, Organizations, and Institutions" in Grindle, M. (ed.) *Getting Good Government: Capacity Building in the Public Sectors of Developing Countries*. Boston: Harvard University Press, pp. 3-28.

Kjaer, Mette; Hansen, Ole e Thomsen, Jens (2002). "Conceptualizing State Capacity".  
DEMSTAR Research Report Nº 6  
([www.demstar.dk/papers/ConceptualizingStateCapacity.pdf](http://www.demstar.dk/papers/ConceptualizingStateCapacity.pdf))

Skocpol, Theda (1985). "Bringing the State Back In: Strategies of Analysis in Current Research" in Evans et al. (eds.) *Bringing the State Back In*. New York: Cambridge University Press, pp.3-43.

Weiss, Linda (1998). *The Myth of the Powerless State. Governing the Economy in a Global Era*. Polity Press.

Enriquez, Elaine e Centeno, Miguel Angel (2012) "State Capacity: Utilization, Durability, and the Role of Wealth vs. History", *International and Multidisciplinary Journal of Social Sciences* 1 (2). pp. 130-162.

#### Complementar:

Weaver, R. Kent e Rockman, Bert A. (1993), "Assessing the Effects of Institutions" in "When and How Do Institutions Matter?" in R. Kent Weaver e Bert A. Rockman (eds.), *Do Institutions Matter?*. Washington, D.C.: The Brookings Institution.

Geddes, Barbara (1996) *Politician's Dilemma: Building State Capacity in Latin America*. Berkeley: University of California Press.

### **Aula 5 – Capacidade do Estado: arrecadação de tributos**

Besley, Timothy e Persson, Torsten (2009). "The Origins of State Capacity: Property Rights, Taxation, and Politics," *American Economic Review* 99(4), pp.1218-44.

Brautigam, Deborah, Fjeldstad, Odd-Helge e Moor, Mick (ed.) *Taxation and State-Building in Developing Countries: Capacity and Consent*. Cambridge: Cambridge University Press

Levi, Margaret (1988) *Of Rule and Revenue*. Berkeley, CA: California University Press.

Cárdenas, Mauricio (2010) "State Capacity in Latin America"  
(<http://dspace.cigilibrary.org/jspui/bitstream/123456789/28322/1/State%20Capacity%20in%20Latin%20America.pdf?1>)

Cheibub, Jose Antonio (1998) "Political Regimes and the Extractive Capacity of Governments: Taxation in Democracies and Dictatorships." *World Politics* 50 (3), pp. 349-76.

### **Aula 6 – A política do orçamento público**

Elson, Diane e Norton, Andy (2002) "What's behind the budget? Politics, rights and accountability in the budget process" ([www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/2422.pdf](http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/2422.pdf)).

Rubin, Irene S, (2007) *The Politics of Public Budgeting: Getting and Spending, Borrowing and Balancing*. Washington, D.C.: CQ Press.

### **Aula 7 – Capacidade burocrática**

Evans, Peter B. e Rauch, James E. (2000) "Bureaucratic Structure and Bureaucratic Performance in Less Developed Countries", *Journal of Public Economics* 75, pp. 49–71

Hall, R. H. 1963. "The Concept of Bureaucracy: An Empirical Assessment", *American Journal of Sociology*, 69 (1) pp. 32-41.

Olsen, Johan P. (2006) "Maybe It Is Time to Rediscover Bureaucracy", *Journal of Public Administration Research and Theory* 16 (1): 1-24.

Huber, John D. e McCarty, Nolan (2004) "Bureaucratic Capacity, Delegation, and Political Reform", *American Political Science Review* 98 (3), pp. 481-494.

### **Aula 8 – Teorias da burocracia: visões concorrentes**

Anderson, William P. "Mises versus Weber on bureaucracy and sociological method", *Journal of Libertarian Studies*, Volume 18, no. 1 (Winter 2004), pp. 1–29

Johnson, Ronald N. & Libecap, Gary D. *The Federal Civil Service System and the Problem of Bureaucracy: the Economics and Politics of Institutional Change*.

Lupia, Arthur. 2001. Delegation of Power: Agency Theory. In Neil J. Smelser and Paul B. Baltes (eds.). *International Encyclopedia of the Social and Behavioral Sciences* 5: 3375-3377. Oxford, UK:Elsevier Science Limited.

Meir, Kenneth J. & Krause, George A. 2006. "The Scientific Study of Bureaucracy: An Overview", in Meir, K, e Krause, G. (eds.) *Politics, Policy, and Organizations*

*Frontiers in the Scientific Study of Bureaucracy*. Ann Arbor: The University of Michigan Press, pp. 1-22.

Michels, Robert (2009). *Political Parties: A Sociological Study of the Oligarchical Tendencies of Modern Democracy*. 6a. edition. New Brunswick, NJ Transaction Publishers.

Moe, Terry M. 1989. "The Politics of Bureaucratic Structure," in John E. Chubb and Paul E. Peterson (orgs). *Can the Government Govern?* (Washington, D.C.: The Brookings Institution): pp. 267- 329.

\_\_\_\_\_ 1990. "Political Institutions: The Neglected Side of the Story," *Journal of Law, Economics, and Organization* 6 (1990): 213-254. Reprinted in Charles K. Rowley, *Public Choice Theory* (Hant, England: Edward Elgar).

\_\_\_\_\_ 1991 "Politics and the Theory of Organization," *Journal of Law, Economics, and Organization* 7: 106-129.

Olsen, Johan P. 1983. "Administrative reform and theories of organization." In Campbell, Colin e Peters, B Guy (orgs.). *Organizing governance, governing organizations*. Pittsburgh, University of Pittsburgh Press.

Wilson, James Q. 1989. *Bureaucracy: What Government Agencies Do And Why They Do It*. Basic Books Classics. (Cap: The Rise of the Bureaucratic State – online em: [www.mpsaz.org/mtnview/staff/jrdavis/apgov/unit5/files/wilson\\_-\\_rise\\_of\\_the\\_bureaucratic\\_state](http://www.mpsaz.org/mtnview/staff/jrdavis/apgov/unit5/files/wilson_-_rise_of_the_bureaucratic_state)).

### **Aula 9 – O papel da burocracia na provisão de serviços públicos**

Hupe, Peter e Hill, Michael (2007) "Street-Level Bureaucracy and Public Accountability". *Public Administration* 85 (2), pp. (279–299)

Michael Lipsky (2010) *Street-level Bureaucracy: Dilemmas of the Individual in Public Services*. New York: Russell Sage Foundation.

### **Aula 10 – Burocracia e política: controle político e accountability**

Gormley, William T. and Steven J. Balla. 2004. *Bureaucracy and Democracy*. Washington DC: CQ Press.

HUBER, John; SHIPAN, Charles. *Deliberate Discretion? The Institutional Foundations of Bureaucratic Autonomy*. Cambridge: Cambridge University Press, 2002.

Lewis, David. 2008. *The Politics of Presidential Appointments: Political control and bureaucratic performance*. Princeton: Princeton University Press.

Moe, Terry M. 1985. "The Politicized Presidency." In John E. Chubb and Paul E. Peterson (orgs.). *The New Direction in American Politics*. Washington, DC: Brookings.

Moe, Terry M. 1987. "An Assessment of the Positive Theory of 'Congressional Dominance'". *Legislative Studies Quarterly* (November): pp. 475-520. Reprinted in Charles K. Rowley, ed., *Public Choice Theory*, Volume II (Hants, England: Edward Elgar, 1993).

\_\_\_\_\_ & Michael Caldwell. 1994. "The Institutional Foundations of Democratic Government: A Comparison of Presidential and Parliamentary Systems." *Journal of Institutional and Theoretical Economics* 150/1: 171-95.

Silberman, Bernard S. 1993. *Cages of Reason- The rise of the Rational State in France, Japan, the United States, and Great Britain*. Chicago, The University of Chicago Press.

### **Aula 11 – Burocracia e política (cont.)**

Campbell, Colin. 1988. "The search for coordination and control: when and how are central agencies the answer?". In Campbell, Colin e Peters, B Guy (orgs.). *Organizing governance, governing organizations*. Pittsburgh, University of Pittsburgh Press.

Hecl, Hugh. 1977. *A Government of Strangers: Executive Politics in Washington*. Washington, DC: Brookings.

Huber, John, and Charles Shipan. 2004. *Political Control of the State in Modern Democracies*. Cambridge. Cambridge University Press.

Nixon, David. 2004. "Separation of Power and Appointee Ideology", *Journal of Law, Economics & Organization* 20 (2), pp. 438-457.

### **Aula 12 – Burocracia: uma visão comparada**

Aberbach, Josel D., Robert A. Putham, and Bert A. Rockman 1981. *Bureaucrats and Politicians in Western Democracies*. Cambridge, MA: Harvard University Press.

Hecló, Hugh. 1984. "In Search of a Role: America's Higher Civil Service." In Ezra Suleiman (orgs). *Bureaucrats and Policy Making: A Comparative Overview*. New York: Holmes & Meier.

Hennessy, Peter. 1988. "Demystifying Whitehall: the Great British Civil Service debate, 1980s style." In Campbell, Colin e Peters, B Guy (orgs.). *Organizing governance, governing organizations*. Pittsburgh, University of Pittsburgh Press.

Merilee S. Grindle - *Jobs for the Boys: Patronage and the State in Comparative Perspective*

Suleiman, Ezra N. (ed). 1984. *Bureaucrats & policy Making*, NY. , Holmes & Meier Skocpol, Theda. 1992. *Protecting Soldiers and Mothers: The political origins of social policy in the United States*. Cambridge: Harvard University Press.

### **Aula 13 – Burocracia: Brasil**

Praça, Sérgio ,Freitas, Andréa e Hoepers, Bruno. 2011. "Political Appointments and Coalition Management in Brazil, 2007-2010", *Journal of Politics in Latin America* 3 (2), pp. 141-172.

Nunes, Edson de Oliveira. *A gramática política do Brasil: clientelismo e insulamento burocrático*. Rio de Janeiro: J. Zahar, 1997. 146 p.

Loureiro, Maria Rita, Abrucio, Fernando e Pacheco, Regina (orgs). *Burocracia e Política no Brasil - Desafios para a Ordem Democrática no Século XXI*. Rio de Janeiro, FGV Editora, 2010.

\_\_\_\_\_; ABRUCIO, Fernando Luiz. Política e burocracia no presidencialismo brasileiro: o papel do Ministério da Fazenda no primeiro governo Fernando Henrique Cardoso. In: *Revista Brasileira de Ciências Sociais*, out 1999, vol.14, no. 41, p.69-89.

D'ARAUJO, Maria Celina. *Governo Lula: contornos sociais e políticos da elite do poder*. Rio de Janeiro: Fundação Getúlio Vargas, CPDOC (manuscrito), 2007.

\_\_\_\_\_; *A elite dirigente do governo Lula*. Rio de Janeiro, FGV Editora, 2009.

### **Aula 14 - Controle de políticas públicas**

*Comparative Judicial Review and Public Policy: (Contributions in Political Science)* Donald W. Jackson (Editor), C. Neal Tate (Editor)

Kapiszewski, Diana e Taylor, Matthew M. 2008. "Doing Courts Justice? Studying Judicial Politics in Latin America", *Perspectives on Politics* 6 (4), PP. 741-767.

G. Alan Tarr, *Judicial Process and Judicial Policymaking*, 6<sup>th</sup> ed. (Cengage/Wadsworth, 2013).

Arantes, Rogério et al. "Controles democráticos sobre a administração pública no Brasil: Legislativo, tribunais de contas, Judiciário e Ministério Público". In Loureiro, et AL (2010), pp. 109-148.

Olivieri, Cecília. "Monitoramento das políticas públicas e controle da burocracia: o sistema de controle interno do Executivo federal brasileiro". In Loureiro, et AL (2010), pp. 149-180.

### **Aula 15 – Conclusão e revisão**