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Teses de Doutoramento

Doutoramento em Organização e Gestão de Empresas (Gestão da Qualidade)

Excelência Organizacional no Sector Público: uma análise ao Governo Local Português

Patrícia Moura e Sá

The primary aim of this thesis is to analyse the key drivers of Organisational Excellence in the Public Sector and integrate them in a comprehensive, reliable and valid performance measurement system.

Within the movements for Public Sector reform and modernisation, Total Quality Management (TQM) has increasingly been regarded as a way to improve efficiency and effectiveness in the use of the resources available, deliver better public services, and bring Public Administration closer to its customers and citizens. However, too often the initiatives carried out are not integrated, nor they are part of a systematic and coherent strategy to guide public organisations towards Organisational Excellence (OE).

The literature suggests that adopting TQM can lead to superior performance, in spite of the difficulties of statistically demonstrating such link. There is also a prevalent view that TQM principles and core concepts are universally valid, but need to be adapted to each context in particular. In this sense, they are applicable to the Public Sector, although the existence of multiple stakeholders, the need to balance individual customer needs with wider collective purposes and the strong bureaucratic inheritance make their implementation particularly challenging.

The exploratory survey conducted in the Portuguese municipalities — which constitute the focus of our study — revealed that TQM is raising considerable interest and diagnosed the main barriers and motivations for TQM implementation. Moreover, it gave support to the Critical Success Factors (CSFs) identified in the literature.

Several organisational excellence models were reviewed. It is argued that Kanji's



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Business Excellence Model (KBEM) adequately covers the CSFs identified and, additionally, provides a sound methodology — based on the Structural Equation Modelling (SEM) approach and the Partial Least Squares (PLS) technique — to estimate the relationships between them and determine their impact on an aggregated measure of OE.

To measure OE from the internal stakeholders' perspective, a few adjustments were made on KBEM and new scales developed to assess the Local Government's performance in each CSF. The model was empirically tested and validated using data collected from 85 Portuguese municipalities and the internal OE index calculated.

Given the critical role of Leadership (the prime of KBEM), this construct was analysed in detail. The key leadership requirements in an organisation committed to TQM and OE were identified. A model was then developed and used to measure, according to leaders' and staff members' views, Leadership Excellence in the Portuguese municipalities.

With the purpose of evaluating OE from the external stakeholders' perspective, a Business Scorecard (KBS) was created. Feedback from citizens — the key external stakeholders of a municipality — was collected in each dimension of the scorecard. Using similar procedures, the model was validated and the scores for each latent variable computed. The OE index thus calculated drew attention to possible gaps between internal and external perceptions and called attention to the need of measuring OE from different angles.

The system of performance measurement proposed is grounded in the CSFs identified and assesses performance from a multiple perspective by integrating feedback from the various stakeholders of an organisation. Therefore, it provides a more realistic assessment of performance and is expected to support the Local Government in its quest for Organisational Excellence.

Sheffield Hallam University (UK)
Setembro de 2002

Doutoramento em Economia

Solid waste policy in Portugal: an environmental input-output approach

Eduardo Barata

The aim of this thesis is to analyse solid waste generation and management flows in Portugal using an integrated macroeconomic approach to economy-waste-environment interactions. The argument of this research is that waste generation and management flows must be treated through an integrated approach capable of addressing their various origins and multiple impacts.

This thesis uses input-output techniques to give an analytical representation of the interdependencies between the economic activities and the solid waste flows. An environmental input-output waste model for the Portuguese economy is implemented, to analyse waste arising from 34 industrial sectors, in terms of domestic production, imports and exports. Waste flows are examined considering total amounts generated within each industry, hazardous waste generated, and the landfilling requirements of that waste. The input-output modelling approach proved to be an effective tool for this type of analysis, in that it provides a consistent framework encompassing final demand, inter-sectoral relationships, factor inputs and solid waste flows. A scenario approach is undertaken to illustrate potential applications of the model for an increasingly integrated "waste and resources" strategic planning policy.

There are two fundamental outcomes from this analysis. First, combined efforts are essential in order to achieve more sustainable waste generation and management practices: the inter-related dynamics of the economic and ecological (solid waste) systems, and the complex interactions among them, must be considered explicitly. Secondly, favourable and ambitious changes in waste flows emissions are possible, by using a feasible combination of strategies, which involve macroeconomic structural changes, technological efficiency improvements and specific policy enforcement measures.

School of Politics, International Relations and the Environment, University of Keele (UK)
Dezembro de 2002

Doutoramento em Economia***A Portuguese energy-economy-environment input-output model: policy applications*****Luís Cruz**

The study undertaken in this thesis concentrates on the analysis and understanding of the complex interactions between social, economic, energy and environmental issues, always with a policy-oriented focus, and with particular attention to the Portuguese case.

Input-output techniques are used, as they allow full analysis of the feedbacks between economic development, energy production and use, and CO₂ emissions. Indeed, the input-output framework allows the analysis of how energy, and therefore CO₂ emissions, are related to industrial production, and ultimately to final demand, making it a tool particularly important for (*ex ante* and/or *ex post*) policy analysis purposes.

Accordingly, an extended input-output empirical application is implemented and developed, from which is assessed the (sectoral and aggregate) production of CO₂ emissions (derived from fossil fuels use) in Portugal. An important contribution from this study is to reveal that (contrary to general "thinking") the great majority of direct consumption is 'responsible' for much more CO₂ emissions indirectly than directly. Moreover, from the results achieved, it can be argued that, besides focusing policies on transport, the most appropriate CO₂ emissions mitigation options for the Portuguese economy can be divided into three main categories: energy efficiency improvements; the growing employment of renewable energy sources; and the increasing penetration of natural gas use.

Some scenarios are set out to analyse the (socio-)economic, energy and environmental consequences of some policy measures, and assess their effectiveness in reducing energy consumption and energy-related pollution. The simulations performed suggest that it will not be an easy task for Portugal to achieve its Kyoto commitments. But one of the most noteworthy insights that can be taken from this analysis is that it is possible to control

CO₂ emissions growth without reducing the global level of employment, and still have satisfactory economic growth.

School of Politics, International Relations and the Environment, University of Keele (UK)

Dezembro de 2002



**Doutoramento em Economia
(Desenvolvimento e Política Económica)*****The Demand for Residential Mortgage
Finance in Portugal******Theory, Methodology and Empirical Analysis*****Vítor Manuel Leite Neves**

This dissertation studies the demand for mortgage finance in Portugal. It discusses the subject on three grounds: theoretical, methodological and empirical. The main goals are: to widen our knowledge of the way in which the Portuguese finance access to homeownership; to make a contribution towards explaining the evolution of the Portuguese mortgage market in recent years, by analysing the specific processes (channels) through which financial liberalisation and the changes brought about by European integration were transmitted into that market; and, as important as those, to have a say in the current discussion regarding the proper methodological foundations for studies involving individual decision-making as well as the unintended, and sometimes unexpected, consequences of intentional human action. The demand for mortgage finance is in effect a particularly appropriate subject to debate a number of theoretical and methodological issues in the area of microeconomics.

In the early nineties, the number of mortgage holders was relatively small in Portugal (as it was throughout Southern Europe). However, in the years that followed the Portuguese mortgage market boomed. Some authors, who have studied the Italian case, consider that supply-side borrowing constraints were at the origin of the relatively small size of the Southern European mortgage markets and maintain that the loosening of quantitative credit restrictions, such as institutionally imposed maximum loan-to-value ratios, is the main cause of the expansion in mortgage markets which occurred after financial liberalisation. It is consensual that financial liberalisation and the ongoing process of European integration were largely responsible for the growth of the mortgage markets. More controversial is the explanation of how this happened.

The argument developed in this dissertation is that an almost exclusive focus on

supply-side-determined borrowing constraints downplays the importance of the complex decisions that prospective homeowners make regarding housing finance, by not taking into account the likely relevance of the level and changes of *debt servicing-costs* and of *desired payment-to-income ratios*. These are mainly linked to the evolution of real incomes, house prices and interest rates. Thus, a central focus must also be placed on an analysis of the demand for mortgage finance, accounting for both the *willingness* and the *ability* to get a mortgage loan.

The demand for mortgage finance involves a two-fold decision to be made by prospective homeowners: the first, which is qualitative, regarding whether or not to engage in a mortgage contract, and the second, quantitative, regarding how much to borrow; the latter being conditional on having decided to use mortgage credit. Both are examined.

A theoretical heuristic framework for the analysis of the demand for mortgage finance is provided. This is intended to take into consideration a set of wide-ranging possibilities regarding households' decisions and to model these as *real* choices. Arguably, such a framework is consistent with the methodological approach also developed in the dissertation, which is based on a reconsidered, open-systems view of the method of situational analysis.

The empirical investigation entailed the use of several tools: descriptive analysis and inference as well as Probit and Tobit II econometric modelling techniques. An attempt to adequately justify the use of these econometric techniques is presented. The econometric study is based on the *Survey of Housing 1998* — a mainland-wide, cross-sectional survey of dwellings which are occupied as the main residence of households — to which time-dependent information has been connected.

Empirical evidence largely supports the claim that interest rates and mortgage affordability considerations are key to understanding the demand for mortgage finance in Portugal. It suggests that financial liberalisation and European integration have had an effect on the Portuguese mortgage market mainly through the positive influence of a

pronounced decline in interest rates. Expectations should also have been important. Different mortgage financing strategies adopted by households are also noticeable. There is a clustering of mortgage behaviour, which is apparently largely linked to the form of access to the property. Usually, the purchase of apartments is associated with a remarkably less important use of mortgage credit than the self-provision through owner-development.

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