



Inhibiting and Facilitating Factors for the Implementation of Risk Management in a Ministry of Justice and Public Security Agency

Fatores inibidores e facilitadores à implementação da gestão de riscos em órgão do Ministério da Justiça e Segurança Pública

Factores Inhibidores y Facilitadores para la Implementación de la Gestión de Riesgos en un Organismo del Ministerio de Justicia y Seguridad Pública

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ABSTRACT

Goal: To identify factors that inhibit and facilitate the implementation of risk management in an entity of the Ministry of Justice and Public Security in Brazil. **Methodology/approach:** This is a case study with data collection, including documentary research and interviews. To process the data, content analysis and SWOT analysis were used. **Originality/relevance:** The originality of this study lies in its focus on the implementation of risk management in public agencies in Brazil, particularly in the Ministry of Justice and Public Security (MJSP). While risk management is widely discussed in the private sector and internationally in the public sector, it remains a relatively new phenomenon within Brazilian public organizations. **Main findings:** Sixteen factors for the implementation of risk management were identified, divided into eight inhibiting factors and eight facilitating factors. Strengths are related to the actions of managers, while weaknesses refer to the lack of training, awareness, and participation of employees. Opportunities arise from government central policies, and threats are linked to changes in upper management. **Theoretical contributions:** The theoretical contribution of this work resides in identifying and classifying inhibiting and facilitating factors for the implementation of risk management in an agency of the Ministry of Justice and Public Security (MJSP), providing a detailed analysis of these factors based on empirical evidence. **Management contributions:** The study analyzes factors that impact the implementation of risk management in a public security agency, emphasizing the need to improve communication and awareness among employees.

Keywords: risk management. Public sector. Factors associated with risk management. Risk management models. SWOT matrix.

RESUMO

Objetivo: Identificar fatores inibidores e facilitadores à implementação da gestão de riscos em um Órgão do Ministério da Justiça e Segurança Pública no Brasil. **Metodologia/abordagem:** Trata-se de estudo de caso com coleta de dados, contemplando pesquisa documental e realização de entrevistas. Para o tratamento dos dados, empregaram-se análise de conteúdo e análise SWOT. **Originalidade/relevância:** A originalidade deste estudo está em seu foco na implementação da gestão de riscos em órgãos públicos do Brasil, especialmente no Ministério da Justiça e Segurança Pública (MJSP). Embora a gestão de riscos seja amplamente discutida no setor privado e internacionalmente no setor público, ainda é um fenômeno relativamente novo no contexto das organizações públicas brasileira. **Principais Resultados:** Foram identificados dezesseis fatores para a implementação da gestão de riscos, divididos em oito inibidores e oito facilitadores. As forças estão relacionadas à atuação dos gestores, enquanto as fraquezas se referem à falta de capacitação, conscientização e participação dos servidores. As oportunidades surgem das políticas do governo central, e as ameaças estão ligadas às mudanças na alta gestão. **Contribuições teóricas:** A contribuição teórica deste trabalho reside em identificar e classificar fatores inibidores e facilitadores à implementação da gestão de riscos em um órgão do Ministério da Justiça e Segurança Pública (MJSP), fornecendo uma análise detalhada desses fatores com base em evidências empíricas. **Contribuições para a gestão:** O estudo analisa fatores que impactam a implementação da gestão de riscos em um órgão de Segurança Pública, enfatizando a necessidade de aprimorar a comunicação e a conscientização dos servidores.

Palavras-chave: gestão de riscos. Setor público. Fatores associados à gestão de riscos. Modelos de gestão de riscos. Matriz SWOT.

RESUMEM

Objetivo: Identificar factores inibidores y facilitadores para la implementación de la gestión de riesgos en un organismo del Ministerio de Justicia y Seguridad Pública en Brasil. **Metodología/enfoque:** Se trata de un estudio de caso que incluye la recolección de datos a través de investigación documental y entrevistas. Se emplearon análisis de contenido y análisis SWOT para el tratamiento de los datos. **Originalidad/relevancia:** Este estudio es original por su enfoque en la implementación de la gestión de riesgos en organismos públicos de Brasil, especialmente en el Ministerio de Justicia y Seguridad Pública (MJSP), un tema que sigue siendo relativamente nuevo en el contexto brasileño. **Principales resultados:** Se identificaron dieciséis factores para la implementación de la gestión de riesgos, clasificados en ocho inibidores y ocho facilitadores. Las fortalezas están asociadas a la actuación de los gestores, mientras que las debilidades se deben a la falta de capacitación, concienciación y participación de los servidores. Las oportunidades provienen de las políticas del gobierno central, y las amenazas están relacionadas con cambios en la alta gestión. **Contribuciones teóricas:** La contribución teórica de este trabajo consiste en identificar y clasificar factores inibidores y facilitadores de la gestión de riesgos en un organismo del Ministerio de Justicia y Seguridad Pública (MJSP), ofreciendo un análisis detallado basado en evidencia empírica. **Contribución a la gestión:** El estudio analiza factores que impactan la implementación de la gestión de riesgos en un organismo de Seguridad Pública, enfatizando la necesidad de mejorar la comunicación y la concienciación entre los servidores.

Palabras clave: gestión de riesgos. Sector público. Factores asociados a la gestión de riesgos. Modelos de gestión de riesgos. Matriz SWOT.

■ INTRODUCTION

Public organizations, like those in the private sector, are susceptible to the uncertainties arising from constant economic, political, and social changes, which can negatively impact achieving their strategic objectives, including delivering services to citizens. To achieve their goals, these organizations face the challenge of identifying the risks to which they are exposed and establishing continuous management of these risks (Ávila, 2014; Silva et al., 2021). Mapping risk factors can lead to management actions, both preventive and corrective if necessary, and can also serve as a learning experience to prevent them from occurring again.

Adopting standards and best practices established in recognized models is an effective way to establish a systematic, timely, and structured approach to risk management, contributing to efficiency and achieving consistent results (ABNT, 2018). In Brazil, some of the internationally adopted risk management models include: the Committee of Sponsoring Organizations of the Treadway Commission - Enterprise Risk Management, also known as COSO ERM or COSO II (COSO, 2004); ISO 31000:2018 published by the International Organization for Standardization - ISO (ABNT, 2018); and The Orange Book Management of Risk - Principles and Concepts (UK, 2001).

The influence of these models is decisively perceived in the actions taken by the Federal Government, which aimed to increase transparency in its activities through its ministries, agencies, and foundations (Brazil, 2018). The Joint Normative Instruction No. 1 of May 10, 2016, from the Ministry of Planning/Office of the Comptroller General - INC 01/2016 MP/CGU (Brazil, 2016), can be considered a milestone for Brazilian public management, as it requires federal executive branch agencies and entities to establish practices related to risk management (Miguelote & Viana, 2020).

Based on the provisions of the aforementioned normative instruction, two other regulatory initiatives have emerged in the country, which can be considered the most relevant for this research: Decree No. 9,203, dated November 22, 2017, from the Presidency of the Republic, which deals with the governance policy of federal direct, autonomous, and foundational public administration (Brazil, 2017), and Ordinance No. 86, dated March 23, 2020, which establishes the Governance System of the Ministry of Justice and Public Security - MJSP (Brazil, 2020). According to these regulations, to improve the fulfillment of the institutional mission of the “organs and entities of the Federal Executive Branch,” with efficiency and effectiveness, transparency, and accountability, the systematic implementation of risk management procedures and practices was sought (Brazil, 2018)

These agencies that integrate the structure of the Ministry of Justice and Public Security (MJSP) include the National Secretariat of Justice, the National Consumer Secretariat, the National Secretariat of Drug Policy, the National Secretariat of Public Security, the Secretariat of Integrated Operations, the National Penitentiary Department, the Federal Police, the Federal Highway Police, the National Archives, and the National Indian Foundation

(Brazil, 2020). To prevent these agencies from being equipped with uncoordinated instruments and procedures that might lead to the conclusion that a risk management system is in place with effective control but which, in practice, does not guarantee the desired benefits, it is necessary to empirically identify inhibiting and facilitating factors associated with the implementation of risk management in public administration agencies, including those of the MJSP (Brazil, 2018).

Classifying inhibiting and facilitating factors identified into strengths, weaknesses, opportunities, and threats can enhance information for strategic direction and decision-making in public agencies. Additionally, it can contribute to optimizing performance in achieving policy and public service objectives. Consequently, this could increase citizen trust in the organization, prevent losses, and assist in incident management and compliance with legal and regulatory requirements (Brazil, 2014; Silva et al., 2021).

The present work aims to identify inhibiting and facilitating factors for implementing risk management in a Ministry of Justice and Public Security (MJSP) department. Additionally, it seeks to classify these factors into strengths, weaknesses, opportunities, and threats by applying a SWOT matrix, an administrative tool that is well-established and widely known in organizational diagnostic interventions, which is the purpose of this article.

From a theoretical perspective, some studies address the identification and discussion of factors associated with the implementation of risk management in the public sector internationally (Woods, 2009; Mikes, 2009; Paquette et al., 2010; Palermo, 2014; Ramos, 2015; Carlsson-Wall et al., 2018; Santos et al., 2020). However, since research on risk is a new phenomenon in the public sector (Oliveira & Abib, 2023), it is necessary to examine and understand the external and internal contexts surrounding the organization to comprehend it better (ABNT, 2018). Thus, this study aims to expand the boundaries of risk management by addressing inhibiting and facilitating factors of risk management in public sector organizations within the Brazilian context, contributing to the scientific study of the risk phenomenon in public organizations in the country.

In addition, from a practical perspective, studying such factors associated with the implementation of risk management is justified as it may reveal sources of risks (ABNT, 2018), and a better understanding of these sources can lead to reflections for the MJSP agencies and other bodies within the Federal Public Administration to improve the implementation of risk management that applies to them. Moreover, the weaknesses in risk management within Federal Public Administration agencies, highlighted in reports by the Federal Court of Accounts - TCU, reinforce the importance of researching this topic (Brazil, 2017; Brazil, 2018).

The present study is organized into four sections: Introduction, Method, Results, and Final Considerations. Initially, the key theoretical elements that allowed the construction of the narrative in this work are presented, with academic contributions, standards, regulations, manuals, and risk management models selected primarily from 2021. Regarding the Method, it is a case study of a qualitative, exploratory, and descriptive nature. Concerning the Results, the section is dedicated to discussing the identification of inhibitory and facilitating factors for implementing risk management, as well as the classification of these identified factors into strengths, weaknesses, opportunities, and threats. In the Final Considerations, the achievement of

the study's general objective, its main results, reflections, limitations, and suggestions for future research are described.

RISK MANAGEMENT

Risk is present everywhere and in the context of all public and private organizations. Given this cross-cutting nature, different definitions are accepted to classify it, depending on the context in which it is embedded (Andrade, 2017).

There are various concepts associated with the term 'risk.' In the present work, operationally, the concept of risk established in Article 3, XXI of MJSP Ordinance No. 86/2020 was adopted, which considers risk as "the possibility of an event occurring that may impact the achievement of objectives, measured in terms of probability and impact" (Brazil, 2020). The INC 01/2016 MP/CGU, in turn, established that risk management is the responsibility of the organization, an integral part of all organizational processes, and should be exercised collaboratively by managers, employees, units, commissions, and sectoral committees, where each mapped and assessed risk must be associated with a formally identified responsible agent (Brazil, 2016).

Adopting standards and best practices for risk management organized into recognized frameworks is an effective way to establish a systematic, timely, and structured approach to risk management, contributing to efficiency and achieving consistent results (Brazil, 2018). In this regard, as previously mentioned, the following international risk management frameworks are presented below: COSO ERM; ISO 31000:2018; and The Orange Book Management of Risk - Principles and Concepts (COSO, 2004; ABNT, 2018; UK, 2001).

In 1992, COSO published the guide *Internal Control – Integrated Framework* (COSO-IC or COSO I), intending to guide organizations on principles and best practices for internal control, particularly to ensure the production of reliable financial reports and prevent fraud. In 2004, COSO published *COSO ERM*, a document that became a reference on corporate risk management (COSO, 2004). Updated in 2017 (COSO, 2017), *COSO ERM* began to emphasize aspects such as the use of risk appetite in decision-making, the importance of developing a risk culture, the need for support from senior management and an adequate governance structure, as well as the recognition of the importance of aligning risk management with the use of information technology (Brazil, 2018).

A well-established risk management model in Brazil is also based on the ISO 31000:2018 Standard. Revised and updated by the Technical Committee on Risk Management - ISO/TC 262 in 2018, ISO 31000:2018 provides principles and guidelines for managing any risk across all or part of any organization. Regardless of industry, sector, or area, it is a general standard and does not compete with other risk management standards in specific areas. However, its revision emphasized simplifying the model, increasing clarity, highlighting the environmental dimension, focusing on leadership aspects, policies, and strategies, and emphasizing the interactive nature of risks (ABNT, 2018).

In 2001, the British Treasury produced and published "The Orange Book Management of Risk - Principles and Concepts." This model has several advantages as the main reference for the UK government's risk management program. In addition to being compatible with international risk manage-

ment standards such as COSO and ISO 31000, it introduces the topic of risk management by addressing a complex subject comprehensively and simply (UK, 2001). In 2009, eight years after the publication of the Orange Book, the British government released the Risk Management Assessment Framework: a Tool for Departments (UK, 2009), a tool for assessing risk management in government organizations in that country and identifying opportunities for improvement. This tool is derived from a consolidated management excellence model used by over thirty thousand organizations, primarily in Europe, called the EFQM Excellence Model (Brazil, 2018).

RISK MANAGEMENT IN PUBLIC ORGANIZATIONS AND FACTORS RELATED TO ITS IMPLEMENTATION.

With the advent of the New Public Management and Managerialism, starting in the 1980s, tools and techniques from the private sector were introduced into the processes and structures implemented by top management to inform, direct, manage, and monitor the activities of public organizations. The introduction of these tools and techniques included the establishment of measures aimed at minimizing the risks inherent in achieving the objectives of these organizations (Blonski et al., 2017).

According to the literature, risk management is a valuable tool within the governance framework of organizations, whether private or public (Souza et al., 2020). Over the past 20 years, there has been a significant production of scientific studies related to risk management and the importance of its application in the public sector (COSO, 2004; Woods, 2009; Mikes, 2009; Paquette et al., 2010; Palermo, 2014; Ramos, 2015; Carlsson-Wall et al., 2018; Santos et al., 2020; Andrade, 2021; Oliveira & Abib, 2023).

Using contingency theory applied to the study of risk management, focusing on the case of Birmingham City Council in England, Woods (2009) observed that, despite the organization using a generic risk management model, three variables were identified: central government policies, information and communication technology, and organizational size. In the case of central government policies, an externally oriented regime stems from central authority rather than control over risk management systems at the local authority level (Woods, 2009).

When studying the responsibility and specialization of risk management in the public sector, Palermo (2014) demonstrated that, given the organizational complexity of public service delivery, agencies and entities require specific tools. The study was based on contributions from the New Institutional Theory, which emphasized the processes of isomorphic change in response to environmental pressures. One factor that emerged from this study concerns the definition and simultaneous adoption of clear and transparent governance principles, as well as the design of internal management control rules consolidated in the form of policy, as a way to manage risks effectively.

The organizational culture is also a factor that influences the implementation of risk management. Among many other theoretical possibilities, it can be defined as the set of values, beliefs, rituals, and norms adopted by a particular organization (ABNT, 2018; COSO, 2017; Mikes, 2009).

Other arguments that positively influence the implementation of risk management in organizations relate to the fact that the literature recommends formalizing the area. In this sense, the purpose of the risk management framework is to support the organization in integrating risk management into significant activities and functions. Therefore, the risk management framework must be customized and proportional to the organization's internal and external contexts (ABNT, 2018). In this regard, having a specialized risk management component within the organizational structure, endowed with excellence and management monitoring, contributes to effective risk management (COSO, 2017).

In Brazil, although the Federal Government has been promoting integrity and transparency actions related to risk management since 1990, the adoption of corporate risk management only began to be widely disseminated starting in 2016, with the advent of INC 01/2016 MP/CGU. Among other provisions, Article 13 of this instruction mandated that federal executive branch agencies and entities implement, maintain, monitor, and review the risk management process, ensuring it is compatible with their mission and strategic objectives (Brazil, 2016).

Considered a milestone for risk management in the Brazilian public sector, it is possible to observe that the Joint Normative Instruction 01/2016 MP/CGU establishes principles, objectives, and a risk management framework, in addition to defining the minimum elements for risk management policies, which would be the statement of intentions and general guidelines to be instituted by the agencies and entities of the Federal Executive Branch within twelve months of its publication (Brazil, 2016).

According to the regulation, the organization's top executive is primarily responsible for establishing the organization's strategy and risk management structure. The INC 01/2016 MP/CGU also determined that the top executive must establish a governance, risk, and control committee. This body will have, among other responsibilities, the role of leading and supervising the institutionalization of risk management and internal controls, providing the necessary support for their effective implementation within the organization or entity (Brazil, 2016).

Within the scope of the MJSP, at the time this study was produced, Ordinance No. 86, dated March 23, 2020, was in effect, which established the governance system intending to organize the decision-making process regarding strategic management, risk management and internal controls, integrity, public policy management, transparency, and administrative management (Brazil, 2020). The ordinance mentioned in this paragraph includes, among its objectives related to risk management that must be adopted by the bodies that comprise the MJSP, the support of the mission, continuity, and institutional sustainability, by providing reasonable assurance of achieving the strategic objectives of the said Ministry.

■ INHIBITING AND FACILITATING FACTORS FOR IMPLEMENTING RISK MANAGEMENT AND THE SWOT MATRIX.

One way to begin the implementation of risk management involves conducting preliminary studies to deepen the understanding of risk management and the factors within the internal and external contexts in which the organization operates (Brazil, 2018). These factors can even be segmented into inhibitors and facilitators of risk management. Based on the work of Fernandes et al. (2015), which addresses the facilitators and inhibitors of knowledge management practices, for this research, inhibitors were considered as those factors that hinder or prevent the implementation of risk management, and facilitators were those that favor or enable the implementation of risk management in the organization. In this context, it is important to mention that the use of the SWOT matrix was a theoretical and methodological choice by the authors of this article, which contributed to the segmentation of the identified factors.

The SWOT analysis is applicable in strategic planning, regardless of the size and activities of the organizations, providing a foundation for strategic decisions, positioning, and institutional direction of these organizations (Filho et al., 2014). The abbreviation 'SWOT' represents the acronym formed by the English words: (i) Strengths; (ii) Weaknesses; (iii) Opportunities; and (iv) Threats. Thus, this analysis allows for the creation of a table that displays the strengths, weaknesses, opportunities, and threats of a given object of study (Chermack & Kasshanna, 2007)

According to Chermack and Kasshanna (2007), the SWOT analysis helps describe a strategic organizational situation and identify what information is needed and what decisions can be made at the organizational level. In this way, the SWOT analysis aids in evaluating the organization's current performance based on existing factors in its internal context (strengths and weaknesses) and in assessing the organization's performance in relation to factors in the external context (opportunities and threats). For Martins (2005), the purpose of SWOT analysis in identifying these elements is to use them to maintain and strengthen strengths, reduce the intensity of weaknesses, and prepare for them, seize opportunities, and protect against threats.

When addressing the process of internal and external analysis in strategic diagnosis, a stage in organizations' strategic planning, Oliveira (2007) provides resources presented in Table 1 to facilitate the construction of a SWOT matrix. This table also aids in understanding the 'internal' and 'external' contexts and the elements of analysis within these contexts: 'strengths,' 'weaknesses,' 'opportunities,' and 'threats.'

Table 1

Elements of analysis in internal and external contexts

Context	Elements of Analysis	Concepts
Internal	Strengths	These are internal and controllable variables that provide a favorable condition for the organization
	Weaknesses	They are internal and controllable variables that create an unfavorable condition for the organization.
External	Opportunities	They are external and uncontrollable variables that can create favorable conditions for the organization
	Threats	These are external and uncontrollable variables that can create unfavorable conditions for the organization

Note. adapted from Oliveira (2007).

Finally, considering the data presented in Table 1, it is possible to classify the factors associated with implementing risk management within the internal context as either ‘strengths’ or ‘weaknesses.’ This classification can help strengthen the organization’s strategic planning by enabling a more precise diagnosis of its internal competencies and capabilities and identifying those it lacks. Similarly, classifying the factors associated with the implementation of risk management within the external context as either ‘opportunities’ or ‘threats’ can also benefit the organization’s strategic planning, as it allows for the identification of what the organization might gain or lose if it does not take measures to reinforce positive circumstances and mitigate negative ones, which are beyond its control (Chermack & Kasshanna, 2007)

METHODOLOGICAL PROCEDURES

This research was a case study, an empirical investigation of a contemporary phenomenon within its real-life context, especially when the boundaries between the phenomenon and the context are unclear, thus making it a research strategy (Yin, 2005). The level of analysis established in this study is organizational. The use of case studies in investigating elements related to implementing risk management at the organizational level has precedents in national literature (Leite et al., 2010; Carvalho et al., 2004).

This work also has a qualitative nature and is an exploratory study, as its purpose is to examine a little-investigated topic. At the same time, it can be classified as a descriptive study, which seeks to specify properties, characteristics, and traits of a phenomenon that one wishes to describe (Sampieri et al., 2013); in this case, to describe the inhibiting and facilitating factors related to the implementation of risk management in a MJSP agency. It should be noted that, to achieve the objectives of this study, it was not necessary to indicate the name of the agency in the analysis of the results.

In addition, it should be noted that the research has a cross-sectional design. The main characteristic of cross-sectional studies is that the observation of variables, whether they involve cases, individuals, or other types of data, is conducted at a single point in time. The researcher prioritizes

capturing a ‘snapshot’ of the facts (variables) of interest rather than a ‘film’ of their evolution (Zangirolami-Raimundo et al., 2018).

According to Yin (2005), evidence for a case study can come from various sources. One resource frequently cited in the qualitative research literature to attribute validity and reliability to case studies is the triangulation of these various sources of evidence. Specifically, the triangulation of multiple empirical evidence sources involve reports from different informants and documents, among others (Bruning et al., 2018).

Initially, the scientific articles used were obtained between the years 2020 and 2023 through online platforms such as Google Scholar, the CAPES/MEC Journals Portal, Spell, and Scielo.org, identified using the following keywords: ‘risk management’; ‘public sector’; ‘factors associated with risk management’; ‘risk management models’ and ‘SWOT analysis’, in both Portuguese and English, with an emphasis on articles related to Public Administration. This theoretical foundation enabled the development of the theoretical framework, including discussions on risk management in the public sector and factors related to implementing risk management in this sector. Preference was given to articles published in the last 20 years. Table 2 below presents the most relevant selected scientific articles on risk management in the public sector used in this study:

Table 2

Selected scientific articles most relevant to the present work.

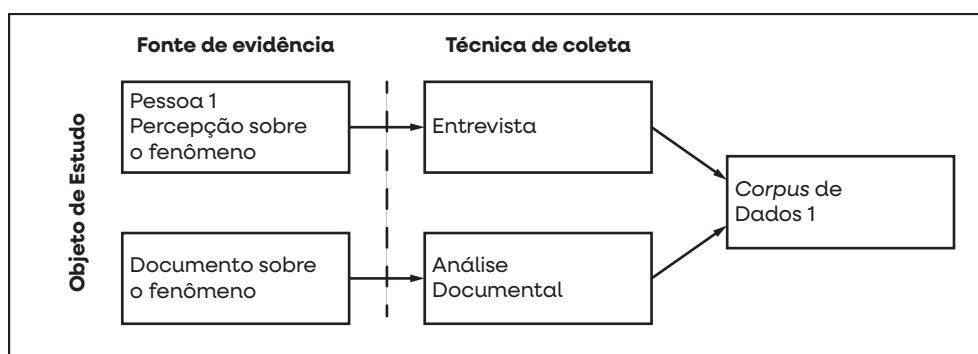
Author/Date	Title
Carvalho, Trapp e Chan (2004)	Disclosure and Operational Risk: A Comparative Approach in Financial Institutions Operating in Brazil, Europe, and the United States.
Martins (2005)	Modal Transport Alternatives for Automotive Parts between Brazil and Argentina.
Oliveira (2007)	Strategic Planning: Concepts, Methodology, and Practices.
Mikes (2009)	Risk management and calculative cultures.
Woods (2009)	A contingency theory perspective on the risk management control system within Birmingham City Council.
Paquette, Jaeger e Wilson (2010)	Identifying the security risks associated with governmental use of cloud computing.
Leite et al.(2010)	Operational Risk Management in a Public Financial Institution Operating in Brazil: A Case Study.
Palermo (2014)	Accountability and expertise in public sector risk management: a case study.
Ávila (2014)	Risk management in the public sector.
Filho et al. (2014)	SWOT analysis and its relevance to strategic planning.
Andrade (2017)	Risk analysis and intelligence activity.
Blonski (2017)	The managerial control from the perspective of New Public Management: the case of the adoption of the balanced scorecard in the Federal Revenue Service of Brazil.
Chermack e Kasshanna (2017)	The use and misuse of SWOT analysis and implications for HRD professionals.
Carlsson-Wall et al. (2018)	Managing risk in the public sector: the interaction between vernacular and formal risk management systems.
Martins et al. (2018)	Corporate Risk Management Policy: The Case of a Health Regulatory Agency.
Ramos (2018)	Corporate Risk Management. How to integrate risk management with strategy, governance, and internal control?
Souza et al. (2020)	Incorporation of international risk management models into federal regulations.

Author/Date	Title
Santos (2020)	Proposed construction of a maturity model and ICT governance and management.
Miguelote e Viana (2020)	Identification of risks in service contracting projects with exclusive dedication of labor: a case study in a federal public institution.
Silva et al. (2021)	Risk management in the public sector: bibliometric review and proposed research agenda.
Oliveira e Abib (2023)	Risk in Public Administration: A Systematic Review Focused on a Future Research Agenda.

Secondary data sources (documents) and primary data sources (in-depth interviews) were prioritized for this research. In this research (Figure 1), the triangulation of evidence sources was achieved through interviews and documents, considering two elements: a) data collection focused on the same aspect; and b) the data obtained from both sources were compared to verify their convergence (Bruning et al., 2018).

Figure 1

Triangulation of sources of evidence based on interviews and document analysis.



Note. adapted from Bruning et al. (2018).

Interviews are data sources for case studies, and in this work, they were utilized through questions in a semi-structured script, based on a priori categories defined from the main dimensions found in the literature review. Each interviewee was asked to freely discuss four questions from this script: 1. What is your department's involvement in implementing risk management in your organization? 2. What are the factors that facilitate/favor the implementation of risk management in your organization? 3. What factors inhibit/hinder the implementation of risk management in your organization? 4. What suggestions do you have for improving the implementation of risk management in your organization? Documentary information, in turn, is relevant to all topics of the case studies, and its most important function is to corroborate evidence from other sources, such as the interviews mentioned above. Examples of such documents include administrative documents, formal studies or evaluations, and articles (Yin, 2005)

Considering that each body that comprises the MJSP (Ministry of Justice and Public Security) can be understood as a Risk Management and Internal Control Unit (UGRC) of the ministry, and that its managers are, in the strict sense, responsible for the priority work processes related to the adop-

tion of risk management practices (Brazil, 2020), their intentional selection for participation in this research was chosen. The profile of the participants to be interviewed was defined purposefully and for accessibility.

To facilitate communication with the research participants, which included members, holders of commission positions, and trust functions from all units of the studied MJSP organization, the following procedures were adopted: 1. Twenty-seven managers were listed as potential research participants, based on the positions they held, their practical knowledge, and their competence to work in the planning of the administrative unit to which they were linked, according to Decree No. 9,662 of 2019 (Brazil, 2019) and the Internal Regulations of the organization mentioned above; 2. Twelve interviewees were selected from the list of potential participants, with the number of interviews determined through theoretical saturation.

Twelve individual interviews were conducted from August to October 2021, either in person or virtually (via the online platform Microsoft Teams), depending on the availability of the interviewees. The data collection was hybrid precisely because the effects of the COVID-19 pandemic were still being experienced.

In addition, documentary research was conducted by collecting secondary data available in non-confidential documents on the Electronic Information System (SEI) that directly or indirectly related to risk management within the organization. The search in SEI identified documents in thirty-nine non-confidential cases related to risk management within the organization, of which twenty-three were duplicates. Therefore, as a source of documentary research, documents from sixteen cases in SEI were analyzed. These data were used to comparatively discuss the results obtained from the interviews.

Regarding the analysis of research data, to identify the inhibiting and facilitating factors for the implementation of risk management, content analysis was applied. This method involves a set of techniques for analyzing communications, encompassing initiatives for clarifying, systematizing, and expressing the content of messages, to make logical and justified inferences about their origin (Bardin, 1977).

At the end of each interview, the collected data was analyzed and coded, during which factors were identified and their differences began to be discovered. Considering the technique of theoretical saturation, by individually exploring each interview before moving on to the next one, factors related to the implementation of risk management were identified, to recognize new elements and elements that had already been mentioned previously by other interviewees (Falqueto et al., 2018).

According to Hayashi et al. (2019), reliability in qualitative research lies in the stability of the findings, which implies that the results must be consistent over time. Furthermore, the authors describe validity as the confidence with which conclusions can be drawn from an analysis and reliability as the consistency with which a research procedure will assess a phenomenon in the same way across multiple attempts.

Based on the identification of each interviewee's arguments, which were representative of or illustrated each of the quadrants of the SWOT matrix, they were separated and inserted into one of the four categories of strength, weakness, threat, or opportunity. Each member of the research team individually conducted the analysis, and later, collective decisions were made by the team regarding which category the identified arguments

would be grouped into. The type of content analysis employed was thematic or categorical.

To reinforce the validity and reliability regarding the categorization of the identified factors, once the interview analysis stage was completed, the analysis of documents gathered from SEI (Electronic Information System) was carried out to verify whether the collected documents supported the factors identified in the content analysis of the interviews. This verification procedure aligns with the triangulation of evidence sources, previously illustrated in Figure 1.

To classify the previously identified factors within the internal and external contexts into strengths, weaknesses, opportunities, and threats, a SWOT analysis, as previously mentioned in Section 2.3 of the theoretical framework of this study, was employed. Based on the concepts presented by Oliveira (2007), the factors identified as inhibitors were classified as weaknesses or threats. Conversely, the factors identified as facilitators were classified as equivalents of 'strengths' or 'opportunities.' Upon completing the classification of the factors through a SWOT matrix, it was possible to present a diagnosis with improvement proposals, which are described in the final considerations of this study.

■ RESULTS

Identification of the inhibiting and facilitating factors for risk management.

As shown in Table 3, sixteen factors related to implementing risk management were identified—eight as inhibitors and the other eight as facilitators. The last column of Table 3 mentions the referred factor identified based on the content analysis of the interviews. The document analysis also found all the factors cited in Table 3.

Table 3

Categories and subcategories of the main factors related to the implementation of risk management were found.

Category	Coding	Subcategories
Inhibiting Factors (IF)	IF01	Lack of awareness among employees about the importance of risk management
	IF02	Resistance to changes in the work routine
	IF03	Insufficient staff for risk management.
	IF04	Lack of risk management training
	IF05	Insufficient information/communication to employees about risk management actions.
	IF06	Frequent changes in top management
	IF07	Reduction of resources allocated to risk management.
	IF08	Lack of an organizational culture focused on risk management.
Facilitating Factors (FF)	FF01	Commitment of managers to risk management.
	FF02	Monitoring by regulatory bodies.
	FF03	“Partnerships with other institutional bodies.
	FF04	Central Government Policies
	FF05	The presence of a risk management system.
	FF06	The presence of a department responsible for risk management.
	FF07	The presence of a collegial body with a deliberative nature concerning risk management.
	FF08	Size of the organization

Note. In the 'coding' column, 'IF' means inhibiting factor, and 'FF' means facilitating factor.

Regarding the inhibitory factors mentioned in Table 3, it is noted that the IF01 factor, 'lack of awareness about the importance of risk management,' was reported in a substantial number of the twelve interviews. Concerning this factor, the staff's lack of understanding, awareness, and clarification about the knowledge involved in risk management makes it difficult to accept risk management and adopt its techniques and tools, which are considered necessary by the senior management of the organization under study. The IF01 factor was also mapped in the organization's work processes.

(...) I think that, in this way, raising awareness among staff about the importance of implementing risk management would be a significant step toward improving this work. (...) In fact, sometimes, there is also a lack of awareness about the importance of risk management. (...) Once the staff is more aware of the importance of risk management, of the importance of the work they do, they will be more initiative-taking in proposing changes, in proposing solutions. (...) (Interviewee 1).

Regarding the IF01 factor, it is appropriate to mention that, according to the ISO 31000:2018 model, one of the principles and guidelines for effective risk management is that it needs to be inclusive. This means that the involvement of stakeholders is necessary, allowing the integration of knowledge, viewpoints, and perceptions, thereby seeking better awareness and a more solid foundation for risk management (ABNT, 2018).

The only inhibiting factor that emerged in all interviews, IF04, 'lack of risk management training,' is presented as an inhibiting factor for implementing risk management practices. This is evidenced by the interviewees' accounts, as exemplified below.

(...), but the main challenge to implementing risk management would be the lack of training and technical knowledge of the tools that allow it. The lack of training is certainly a key factor in the difficulty of implementing this risk management. (Interviewee 5).

(...) Today, we do not have this ideal world in the organization, but ideally, the person who is going to work with the establishment there, like analyzing the environment, should also have training in risk management, and this is different from the reality today. (...) The training of all employees; not just the employees involved in this process, but all the employees of the organization, because all of them will contribute to risk management in some way or another; (Interviewee 9).

The training in risk management is considered relevant by several authors when discussing the implementation of risk management in any organization, whether public or private (Carlsson-Wall et al., 2018; Palermo, 2014). As noted in ISO 31000:2018, risk management is continuously improved through learning and experiences (ABNT, 2018).

Regarding the IF05 factor 'Insufficient information and/or communication about risk management actions,' as evidenced by the interviewees' perceptions, it is generally observed that the staff are not aware of the risk management initiatives being adopted and are unaware of these actions, their motivations, and their objectives, which hinders the implementation of this practice within the organization.

(...) so the first step is for the staff would need to understand that this is happening. A more appropriate communication, a stronger communication, really strong social communication in this sense, especially within the risk management sector itself (...) the staff should be aware of this work, the importance of this work, and the results, the impacts that they have on the department's day-to-day operations. (Interviewee 2).

Regarding the IF05 factor mentioned in Table 3, the evidence from the documentary corpus indicated that the communication of actions promoted by the agency generally occurs in two ways: by sending electronic banners via institutional email and by posting news and information on the intranet concerning risk management. No records were found of communications or publications of information about the agency's actions related to risk management, only those pertaining to actions directly promoted by the Ministry of Justice and Public Security (MJSP). Additionally, according to ISO 31000:2018, cited in the theoretical framework of this study, one of the principles for effective risk management concerns the best available information, meaning that historical and current information should be made available. This information must be timely, clear, and accessible to all parts of the organization (ABNT, 2018).

The other factor mentioned in Table 3 is IF06, 'constant changes in top management.' According to the research corpus, there is evidence of changes in the management of the MJSP in recent years, which have been reflected in changes in the composition of the organization's top management under study and have also accompanied changes in regulations related

to implementing risk management practices. According to the literature, to achieve their strategic objectives, the bodies and entities of the Executive Branch need to adopt measures aimed at institutional continuity and sustainability (Brazil, 2020), but the condition observed in this case study does not seem to support the literature.

The facilitating factors presented in Table 3 are presented in sequence, with the first being FF01, 'commitment of managers to risk management.' According to evidence from the reports of half of the interviewees, the managers who are also responsible for risk management in the organization are participative and are aware of the importance of implementing risk management:

(...) they are directors, they are managers, who participate, and have even participated in risk mapping (...) I believe that the managers really understood the risk (...) so I think the first point is that the leadership, the General Management, and the department's directorates are committed. They truly do an excellent job in this regard." (Interviewee 4).

Regarding factor FF01, the literature highlights the importance of each manager's leadership style when implementing risk management in organizations. The way each manager should interact with the formal risk management system is supported by INC No. 01/2016 MP/CGU and Ordinance No. 86/2020 MJSP (Brazil, 2016; Brazil, 2020). The literature also indicates that the manager's knowledge of dealing with day-to-day contingencies and ability to manage interpersonal relationships can enhance risk management practices (ABNT, 2018; Brazil, 2016; Palermo, 2014; UK, 2009).

Another factor mentioned in Table 3, highlighted by a substantial portion of the interviewees, was FF04, 'central government policies.' Most of the records supporting this factor pertain to the official communications sent by the MJSP. According to the research's body of evidence, the MJSP has been monitoring and requiring the agency to fully implement the risk management process and develop a control implementation plan to address the risks in the mandatory strategic processes.

According to the literature, central government policies have been previously cited in the theoretical framework of this study, referring to the prevalence of an externally oriented regime stemming from central authority aimed at establishing national performance criteria. This includes exogenous pressures manifested through persuasions and legal forces, such as laws, decrees, and regulations, which is precisely what occurs in the organization under study (ABNT, 2018; Brazil, 2016; Brazil, 2019; COSO, 2017; Palermo, 2014; Ramos, 2015; Souza et al., 2020; UK, 2009; Woods, 2009).

The factor identified in Table 3 as a facilitator is the presence of a risk management system — FF05. This refers to the 'Support Information System for Integrity and Risk Management' (AGIR), developed by the MJSP, which can be accessed online by managers and others responsible for risk management. It analyzes the environment and identifies, assesses, and manages the organization's risks.

(...) There's an AGIR system where we register the risks and monitor the implementation measures. (...) It helps a lot. (...) I would say it is essential for the manager to have control because the organization works extremely fast, so the manager needs this kind of tool to optimize the work (...) (Interviewee 9).

According to the literature, information and communication technology is an integral part of the risk management process, with information systems serving to record and process information related to the stages of this process, thereby organizing and facilitating the achievement of organizational needs. (ABNT, 2018; Brazil, 2019; COSO, 2017; Paquette et al., 2010; Woods, 2009).

Another factor noted in Table 3, frequently mentioned by the interviewees, was FF06, which is ‘the presence of a department responsible for risk management.’ This department is presented as an advisory body, although the competencies of this advisory body are not formally defined in the internal regulations of the organization under study. This advisory body was highlighted in the interview reports:

One factor would be the creation of the risk management advisory team and the work that the advisory team did to map out risks over the years, not only mapping them out but also mitigating them and seeking solutions to avoid them. (...) So, from the work done by the risk management advisory team, we gained a better perspective, which allowed us to have a clearer view of the organization as a whole.” (Interviewee 4).

Still, regarding FF06, the evidence of a dedicated sector specializing in risk management has facilitated the dissemination of knowledge about risk management within the organization and helped address the concerns of other managers. It is worth noting that the literature recommends formalizing this area, stating that the purpose of the risk management structure is to support the organization in integrating risk management into significant activities and functions. Therefore, this structure must be customized and proportional to the organization’s internal and external contexts (ABNT, 2018). Additionally, having a specialized component in risk management within the organizational structure, endowed with excellence and management monitoring, contributes to the effective management of risks (COSO, 2017).

Another factor mentioned in Table 3 is FF07, the ‘presence of a deliberative collegial body on risk management.’ The evidence indicates the presence of this body in the form of a committee, which was also frequently mentioned by the interviewees.

(...) more recently, as a manager, I have thought it would be great to adopt a steering committee to monitor organizational risk management. (...) In this committee meeting, all managers become aware of the risks in other areas, which facilitates work and dialogue among managers. (...) We started working together to try to minimize or mitigate these risks based on the meetings that senior management holds monthly. (Interviewee 2).

It was found that the mentioned advisory (referred to concerning FF06) and the cited committee (which is connected to FF07) have distinct constitutive natures, with indications of overlapping competencies between them, as evidenced by the document analyses. Even though the definitions of the scope of action of this advisory and the mentioned committee are subject to improvement, based on the literature, it is observed that the option to create specialized bodies that address risk management within the organizational structure has a positive influence on the implementation of this risk management (COSO, 2017; ABNT, 2018).

The size of the organization (FF08) is the eighth facilitating factor identified in Table 3. Two interviewees mentioned it, and document analysis and the literature on risk management support it.

(...) as a facilitator, I could mention the fact that the agency is not very large (...) it's a structure that doesn't have many branches, it's small, and you can work with a much smaller number of processes compared to a more bloated structure; (...) this, in a way, makes things easier, being smaller than other federal agencies (...)." (Interviewee 5).

The literature also corroborates that the organization's size influences the implementation of risk management. According to Woods (2009), large organizations tend to use more formal risk management systems, requiring many specialists, considering the size, complexity, and diversity of the risks encountered. Smaller organizations tend to make procedures more informal.

■ CLASSIFICATION OF THE IDENTIFIED FACTORS INTO STRENGTHS, WEAKNESSES, OPPORTUNITIES, AND THREATS.

Figure 2 presents the consolidated SWOT Matrix, which contains inhibiting and facilitating factors for implementing risk management, classified as strengths, weaknesses, opportunities, and threats.

Figure 2

SWOT Matrix of Inhibiting and Facilitating Factors for Risk Management Implementation.

		Facilitating Factors		Inhibiting Factors	
		Strengths		Weaknesses	
Internal Context	S	The commitment of managers to risk management. Presence of a risk management system. Presence of a department responsible for risk management. Presence of a collegial body with a deliberative nature regarding risk management. Size of the organization.	W	Lack of awareness among employees about the importance of risk management. Resistance of staff to changes in work routines. Insufficient staff for risk management. Lack of training in risk management. Insufficient information/communication about risk management actions. Absence of an organizational culture focused on risk management.	
			Opportunities		Threats
External Context	O	Monitoring by control bodies. Partnerships with other institutional bodies. Central Government Policies.	T	Constant changes in top management. Reduction of resources allocated to risk management.	

Note. S - Strengths; W - Weaknesses; O - Opportunities e T - Threats.

According to Figure 2, in the internal context, of the five facilitating factors classified as strengths, one refers to the presence of a risk management system. Another refers to the size of the organization. One is related to the commitment of managers to risk management, and another to the presence of a department responsible for risk management. Finally, a deliberative collegiate body on risk management was mentioned.

Regarding the last three factors mentioned, the organization primarily focuses its efforts on how top management and other managers perceive and adopt the formal risk management systems established in Ordinance No. 86/2020 MJSP (Brazil, 2020).

Still, within the internal context, Figure 2 shows the following weaknesses: the lack of awareness among staff about the importance of risk management, the resistance of staff to changes in work routines, the insufficiency of staff for risk management, the lack of training in risk management, the insufficiency of information/communication about risk management actions, and the lack of an organizational culture focused on risk management as elements that hinder the implementation of risk management practices.

According to Figure 2, in the external context, the opportunities include central government policies, monitoring by control bodies, and partnerships with other institutional bodies. Since these are factors beyond the control of the organization under study, it is up to the organization to maximize these opportunities to increasingly align itself with the values, capabilities, and resources required by the organization (Chermack & Kasshanna, 2007).

Still, in the external context, based on the evidence from the data related to inhibitory factors classified as threats in Figure 2 constant changes in senior management and the reduction of resources allocated to risk management also emerged as the main factors. These two factors were identified in Table 3 as IF06 and IF07.

A final characteristic observed, both for opportunities and threats, relates to the fact that policies and strategies related to risk management do not originate from the internal context but are instead derived from external guidance provided by the MJSP, representing the central government, to align with national performance criteria (Brazil, 2016; COSO, 2017; Palermo, 2014; Paquette et al., 2010; Ramos, 2015; Souza et al., 2020; Woods, 2009).

■ FINAL REMARKS

The general objective of this study was to identify inhibiting and facilitating factors in implementing risk management in a department of the MJSP and classify them as strengths, weaknesses, opportunities, and threats. A qualitative approach was used, based on twelve in-depth interviews with employees and managers responsible for implementing risk management policies in the analyzed department and document analysis.

The main results allowed for identifying and classifying the sixteen factors found in the sources of evidence, consisting of eight inhibiting factors and eight facilitating factors. Empirical evidence was grouped from the content analysis of the interviews, and the document analysis was presented.

The study offers reflections on factors that affect the implementation of risk management in a federal public security agency and contributes to the identification of risk factors in Brazilian public organizations. Risk management needs to be understood as an inevitable reality in the current post-pandemic context, and its use is likely to provide many benefits to Brazilian public organizations, particularly in improving strategic planning.

Factors associated with a “lack of awareness about the importance of risk management,” “resistance to changes in work routines,” “insufficient

staff for risk management,” “lack of training in risk management,” and “insufficient information/communication to staff about risk management actions” are examples of potential inhibiting factors to risk management within the organization. On the other hand, “commitment of managers to risk management,” “the presence of a risk management system,” “the presence of a department responsible for risk management,” “the presence of a deliberative collegiate body on risk management,” and “the size of the organization” were examples of factors facilitating the implementation of risk management.

It was found that the factor ‘lack of training in risk management’ was mentioned in all twelve interviews. The factor ‘presence of a department responsible for risk management’ was present in more than half of the interviews. The factors ‘insufficient information/communication to employees about risk management actions,’ ‘commitment of managers to risk management,’ and ‘central government policies’ were also recurrent in the interviewees’ arguments.

Based on the information provided by the SWOT matrix, it was possible to construct the reference matrix shown in Figure 2. The factors were differentiated according to their ‘internal’ and ‘external’ contexts. The results indicated that the policies and strategies related to risk management did not originate from the internal context but were guided by external influences from the Ministry of Justice and Public Security (MJSP), representing a manifestation of the ‘central government policy’ factor, aimed at aligning The findings of this study allow for the presentation of contributions to the diagnosis of the studied organization, such as: a) improving the delineation of the roles of organizational components involved in risk management and the risk governance committee within the organization, based on normative and regulatory reviews; b) enhancing initiatives for communication, information dissemination, and raising awareness among employees about risk management, with the aim of establishing an organizational culture focused on risk management; c) evaluating the possibility of offering or developing training courses on risk management tailored to the realities of prison systems; d) studying the possibility of revising the distribution of tasks within the organization’s departments, reallocating employees to work in risk management, and potentially creating a talent pool that involves expertise in risk management; e) making efforts to empirically understand the influence of culturally ingrained factors that may be negatively or positively impacting the implementation of management practices; and f) redefining competencies, processes, and organizational routines in light of risk management principles. Regarding the potential for these case study contributions to be extended to other public organizations, it is believed that future studies could assess the applicability of these contributions, with national performance criteria.

The study addressed a relevant and current topic related to risk management in public organizations. In addition to expanding the theoretical boundaries of risk management by discussing both inhibiting and facilitating factors in risk management within public sector organizations in the Brazilian context, revealing previously unknown factors, it also offers practical insights for MJSP bodies and other Federal Public Administration agencies to improve the implementation of applicable risk management practices.

Regarding research limitations, it is worth noting that the data collection and analysis took place during the Coronavirus pandemic in 2021. This situation led to some interviews being rescheduled or canceled due to

social distancing and isolation measures. It is appropriate to indicate that the final number of interviewees was limited to twelve due to the theoretical saturation technique. Additionally, because this is a single case study, it is advisable to limit the generalization of the findings presented in this research.

Finally, the following suggestions for future research are presented: (i) study the effectiveness of the governance structure related to risk management in public security agencies; (ii) understand the implications of using information systems for the effectiveness of risk management in public security agencies; (iii) analyze the implementation of risk management from the perspective of employees in public security agencies; (iv) characterize the inhibiting and facilitating factors for the implementation of risk management in other departments of the Ministry of Justice and Public Security (MJSP), allowing an evaluation of the congruence or lack thereof with the factors described in this study; and (v) classify the factors that influence the implementation of risk management in other MJSP departments according to strengths, weaknesses, opportunities, and threats, assessing whether this classification aligns with the findings of this study.



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Publishers

- Rosalia Aldraci Barbosa Lavarda
- Leandro Dorneles dos Santos

History

Received:	22-07-2022
Approved:	20-08-2024
Published:	23-10-2024