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Presidency of the
Council of Ministers

National Civil Service
Authority



MANAGEMENT MODEL OF THE PERUVIAN CIVIL SERVICE PUBLIC MANAGERS GROUP

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MANAGEMENT MODEL OF THE PERUVIAN CIVIL SERVICE PUBLIC MANAGERS GROUP



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FOREWORD

In order to have a conceptual and management reference on the group of public managers of the new Peruvian Civil Service, the National Civil Service Authority (SERVIR, for its Spanish acronym) has prepared this document which outlines the broad principles of the public management model of the new civil service regime and public policy guidelines for the implementation of the professional civil service in the levels of State management, thus having an important impact on the management of the entire Public Administration of the three levels of government.

The management model, which is addressed to authorities, public management professionals and citizens in general, is in line with international trends in professional public management in countries with developed civil service systems, such as the United Kingdom, Australia, New Zealand, the United States, Canada and Chile. Likewise, this model responds to the current situation of public management in our country and is aligned with the National Policy on Modernization of Public Management and approaches to generating value for citizens.

This document, in its final version, has considered the contributions received to Working Document No. 1-2015, “Conceptual Framework of the Peruvian Civil Service Public Managers Group”, as well as those received in the forums and discussion workshops conducted by SERVIR during the year 2015.

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Finally, we must acknowledge the work of the Public Management Development Department and the Project Management and Innovation team responsible for bringing this initiative to a successful conclusion: Andrés Corrales Angulo, Alexander Carranza Michaud, Carlos Mesías Reyes, Margarita Cabrera Blume, Andrés Yáñez Cárdenas, Juan Ortiz Fernández, Antonio Gutiérrez San Martín, Isael Cabrera Calle, César Jiménez Alegría, and Sebastián García Acosta.

EXECUTIVE SUMMARY

The purpose of the Civil Service Reform is to professionalize the Peruvian Civil Service in order to provide better services for citizens. The accomplishment of this purpose implies a comprehensive transformation of civil service to improve the management of people working for the State as well as the processes for the generation of public goods and services that are carried out in public entities with citizens in mind.

Among the many challenges that this reform entails is the development of the public management that our country needs. Providing public managers capable of generating concrete results that impact on citizens is a long-term task, which will improve the performance of the State. It is therefore essential to discuss the conceptual basis which will sustain the new public management group, as a result of reform implementation.

This document begins with a description of the current Peruvian “public management” segment, composed of the heads of bodies, organizational units and decentralized bodies. This does not necessarily mean that these are positions in the public management group of the civil service system, but they do represent the starting point from which these policies are prepared for this management model. The total number of positions (management positions) is 6,831 at a national level and 4,172 at a regional level. The vast majority are in the second and third organizational level. The sectors with more management positions are Health, Education and Economy & Finance; the latter especially includes positions in the National Superintendency of Customs and Tax Administration (SUNAT).

The current public management segment can be described as a “politicized” management model, in which access to most positions is limited only to political trust. More than 70% of management positions are appointed by trust; therefore, there is neither selection nor promotion based on merit and performance evaluation is linked mainly to the loyalty to their superiors.

There is no job security, customer-based relationships are fostered and, in many cases, it is a breeding ground for corruption.

The core problem of the current public management is its “politized” nature. Therefore, a professional management function model is proposed. This model is governed by principles of efficiency, efficacy, accountability for results, and the creation of public value; accordingly, the access to positions is based on principles of merit, having space for independent decision-making with evaluations according to their results.

Professional public management should take into account an integrated approach to management function, in which a manager develops three types of management: political environment management (with the aim of obtaining legitimacy and support to achieve management results), strategic management, and operational management.

Likewise, a professional management function requires public managers with certain competencies, being understood that competency is the set of visible behaviors for successful job performance. It comprehensively involves knowledge, skills and attitudes, which are the differentiating factor within an organization. The competencies in this model require public managers to show dedication to service, focus on results, teamwork (those three competencies are transversal to all civil servants) and leadership, articulation with the political environment, strategic vision and management capacity (required for public managers). The introduction of a competency-based management has an important application, especially in competitive selection processes, capacity development, and performance management of public managers.

The main objective of the public management segment is to institutionalize and professionalize the public management function, based on principles of public value creation, accountability for results and economic rationality.

In this regard, three types of public management were identified, which compose the roles of the group institutional leadership positions: political-strategic management, strategic management, and operational-strategic management. Moreover, within the group of public managers, the Top Public Management segment was identified, being understood as the set of management positions that perform functions of greater complexity and responsibility within the State.

Within the public managers model, the following elements can be mentioned: an integrated approach of the management function, leadership and management of the public managers group by SERVIR, restrictions to politically appointed positions, trend towards the generation of general managers with certain balances, competency-based management, development of a Top Public Management, preparation of public managers profiles, open recruitment system, employment system, selection by the entities, promotion of labor mobility, evaluation of goals and indicators and dismissal for reasons other than withdrawal of confidence.

Likewise, this document describes public managers’ characteristics that differentiate them from other groups in the civil service regime, both from the top level (public officers) and the career civil servants level. It is estimated that the group of public managers at the national level amounts to approximately 4 493¹ positions. From these management positions, 2,616 correspond to the National Government and 1,877 correspond to regional governments.

For the final version of this management model, there have been considered the comments received in writing, in academic discussion events and in workshops from the submission of Working Document No. 1-2015, “Conceptual Framework of the Peruvian Civil Service Public Managers Group.”

¹ The estimated number of public managers may vary depending on the exceptions that are approved by SERVIR.

INTRODUCTION

One of the challenges to be highlighted in the implementation of the Civil Service Reform is the design and implementation of the public managers group, which is placed between the public officers group (politicians and senior management of the entities) and the career civil servants group. The design and implementation of the State's management segment are in line with a management model aimed at professionalizing management functions. Such model, like the most developed management function models in the world, is a management model based on the prevalence of merit, the creation of public value, and competency-based management, which is part of the current Peruvian Civil Service Reform as well as the challenges that we have as a country towards the Bicentennial of the Republic².

SERVIR has taken advantage of the objectives, strategies and characteristics of the executive management model to carry out the management of the Public Managers Cadre since its creation and implementation seven years ago, which in turn has provided the basis to regulate the public management group through the Civil Service Act and its general regulations. Moreover, the management model is aligned with trends and the development of management bodies in more advanced countries in this area, particularly in countries that are members of the Organization for Economic Co-operation and Development (OECD) and the international standards established by the Ibero-American Charter for the Public Service. This redefinition of public management aims to institutionalize and professionalize managerial leadership in the Peruvian State, based on principles of public value creation,

² Strategic axis 3: The State and Governance of the Bicentennial Plan considers the following among its political guidelines for State reform:

“1. Reform the administration of the State to improve its management capacity at the national, regional, and local levels ensuring its presence throughout the country and increasing coverage, efficiency, and quality of its services and speed in the processing procedures; and 2. Revalue and strengthen public careers promoting high professional performance based on technical and personal competencies with moral solvency by establishing a new civil service and meritocratic and efficient service-oriented public management.” (CEPLAN, 2011, p. 122).

accountability for results and economic rationality³. The development of these concepts is based on the central axes of the Civil Service Reform, i.e., meritocracy and a citizen-centered approach.

The document containing the management model comprises nine parts: the first part describes the current situation of the public management segment in Peru. The second part develops the conceptual framework of the public management function. Subsequently, the general organization of the public managers group and the work organization carried out by the public managers group are presented. Then, their incorporation to the new civil service regime is described. Section six corresponds to training and development. Next, the performance management of the public manager group is presented followed by monitoring and support to the public managers' strategies. Finally, the general aspects of compensation in this group are presented.

This document is therefore expected to be a conceptual and management reference for the development of public management in the country, promoting reflection on the management function and its elements, shaping the public policy guidelines to be implemented to have a professional management group in the State.

1. Background:

The efficiency and effectiveness of public institutions to solve problems affecting citizens has been questioned for decades in the region and the entire country.

In order to face these problems, various attempts to reform the system have been developed in our country with partial or unrelated results, within which is the creation of the so-called "islands of efficiency" in Public Administration.

Following the publication of the first Institutional Diagnosis of Civil Service Systems by the Inter-American Development Bank (Iacoviello, M. 2005), showing quite poor rates of our country in this area, the Framework Law on Public Employment took effect.

However, its implementation was hindered as there was no complementary development legislation.

Years later, within the framework of the Free-Trade Agreement implementation process with the United States, the Congress of the Republic granted legislative powers to the Executive Branch in different areas, including the modernization of the State. A window of opportunity was identified in this scenario to propose a reform that could give rise to a change of direction regarding the institutional weakness of our civil service and which could be viable and sustainable over time. The advice of a team of consultants and technical assistance by the Inter-American Development Bank (IDB) was crucial for discussing more realistic alternatives different from those proposed previously.

An incremental reform that could enable future reforms to complement the first ones was proposed under this approach. Therefore, a minimum agenda of concrete and innovative political measures other than those undertaken in the past was launched. By reducing political and economic costs involved in Public Administration reform as a whole and being aware of the lack of institutional capacity available at that time, these measures sought an alternative solution that could drive the start of an efficient human resources management within the State.

Thus, in 2008, one of the most important State reforms within the framework of Public Administration modernization was launched in Peru: the Civil Service Reform, which is a result of the approval of three main legislative decrees: Legislative Decree No. 1023, which creates the governing body of the Administrative System for Human Resources Management (the National Civil Service Authority - SERVIR) and the Civil Service Tribunal; Legislative Decree No. 1024, which creates and regulates the Public Managers Cadre; and Legislative Decree No. 1025, which states regulations on Training and Evaluation of Public Servants.

The National Civil Service Authority – SERVIR, as a specialized technical agency attached to the Presidency of the

³ Economic rationality in this document involves selecting between different alternatives regarding economic goals (needs-resources) based on a cost-effectiveness analysis.

Council of Ministers and governing body of the Administrative System for Human Resources Management of the State, has the responsibility to establish, develop and implement State policies regarding civil service. In this regard, SERVIR plans and formulates the national policies of the Administrative System for Human Resources Management concerning the planning of human resources policies, work organization and distribution, employment management, performance management, development and training management, compensation management and human and social relations management.

After the creation of SERVIR and the Public Managers Cadre, a model of executive management is to be validated from the design and implementation of the cadre, while a group of managers meritocratically selected are appointed to various public institutions of the three governmental levels with the purpose of improving public management in the entities assigned. In 2011, after the Institutional Diagnosis of Civil Service Systems was carried out by the IDB, significant progress was made in this matter: the rates of all Bureaucratic Development Index indicators had doubled⁴.

Five years later and at the Executive Branch's initiative, the Congress of the Republic passed Act No. 30057, Civil Service Act, published on July 4, 2013. This act establishes a unique and exclusive regime for those serving in public institutions of the State, as well as those who are responsible for management, exercise of powers and the provision of services of such public institutions. The purpose of the act is to enable public entities of the State to achieve higher levels of effectiveness and efficiency, to effectively provide quality services through better civil service, as well as to promote the development of the people involved.

On June 13, 2014, the regulations of Act No. 30057 were approved: The General Regulation of the Civil Service Act (Supreme Decree No. 040-2014-PCM); the Regulation of the Special Regime for Local Governments

(Supreme Decree No. 041-2014-PCM); and the Regulation of Compensations of the Civil Service Act (Supreme Decree No.138-2014-EF).

The Civil Service Act and its regulations promote a civil service based on merit, equal opportunities and quality assurance of the State's services for the benefit of citizens:

- a) The merit-based criterion seeks to fill civil service positions with suitable people according to their skills, aptitudes and capacities. Consequently, merit is the basis for selection processes, career progression policies, and performance evaluation, as well as training management, performance management, and civil service continuity.
- b) Equal opportunities in civil service are essential to the inclusion and progression of servants. This means that anyone interested in a position with a public institution in the case of inclusion and any career-based, civil servant, in the case of progression, is able to compete on equal terms in the selection process, provided that they fulfill the general application conditions and the profile requirements of the vacancy.
- c) On the other hand, through the application of best practices and continuous improvement in the processes of each institution, civil service is aimed at obtaining the institutional outcome and goals that result in the improvement of the quality of activities, actions and services that the State provides to citizens.

Based on this, the implementation process of the new civil service system was launched in order to enable public institutions of the State to achieve higher levels of effectiveness and efficiency, provide quality services to citizens, and promote the development of the people involved. To this purpose, on September 27, 2013, the guidelines for the transition of public institutions to the civil service system were approved.

⁴ Further information at IACOVIELLO (2011). *Diagnóstico institucional de sistemas del servicio civil*.

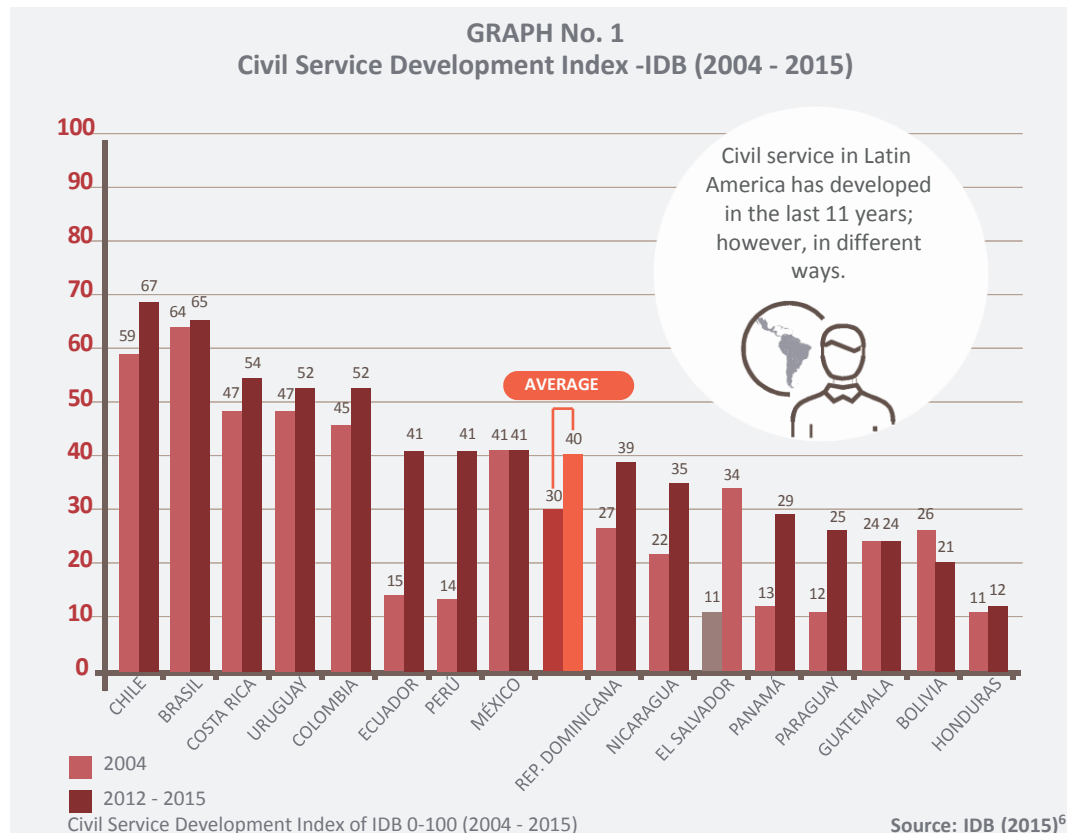
"On a scale from 0 to 100, all indicators have doubled their rating. While we are still far from having high bureaucratic development standards, progress is significant. The indicators applied are merit, structural consistency, functional capacity, efficiency, and integration capacity." (SERVIR. 2015, p. 12).

Thus, public institutions should gradually make a transition to the new civil service system within a maximum term of six years. The process involves the following steps: preparation of the entity for the transition, its situational analysis, internal improvement of the entity, and implementation of the new civil service regime through public bidding.

Such implementation seeks the professional development of the civil service in order to achieve higher levels of efficacy and efficiency in the production of public goods and services. In this horizon, the role of the public managers group of the new regime⁵ is crucial, since they manage, under the strategic guidance of public officials of the entity, the structures and processes through which public policies are implemented and goods and services are provided. Likewise, they ensure the achievement of the assigned objectives, monitor the achievement of goals and manage the development of civil servants under their responsibility, as it is a particularly important engine to improve the performance of the Public Administration.

Currently, the experience of the Public Managers Cadre, aimed at a professional public managers group, has served to validate a management model from the practice, experience of which significant learning has been obtained that serve as an input for the articulation of the elements of this model.

Recently, in 2015, the IDB has once again carried out the institutional diagnosis of the Peruvian Civil Service, in which a significant advance can be noted compared to the results of 2011. In 2004, Peru barely obtained 14 points out of 100 in the development index of the IDB civil service, among the last three countries in the table. In 2011, Peru obtained 29 points in said index. This year the result has been 41 points, that is, an increase of 27 points in 11 years. Thus, for the first time Peru has overcome the average score in Latin America and became an outstanding experience of civil service development in the region.



KEY: CHILE, BRAZIL, COSTA RICA, URUGUAY, COLOMBIA, ECUADOR, PERU, MEXICO, DOMINICAN REPUBLIC, NICARAGUA, EL SALVADOR, PANAMA, GUATEMALA, BOLIVIA, HONDURAS

⁵ The Ibero-American Charter for the Public Service refers to the “role of public managers” (CLAD, 2003, p. 9).

⁶ Available at:

<https://mydata.iadb.org/Reform-Modernization-of-the-State/-ndice-de-Desarrollo-del-Servicio-Civil/ujmw-6ihh/data>.

As stated above, the Peruvian State seeks to improve the management of human resources available and the current situation falls within a favorable context for such reforms, in line with the interest of the country to participate in international forums and organizations that allow fostering greater socio-economic development for the benefit of citizens. In this regard, Peru is taking important steps towards joining the Organization for Economic Cooperation and Development (OECD) within the Country Program framework.

Through the National Civil Service Authority, Peru is working on the alignment of human resources management with the highest international standards, with the purpose of

increasing the legitimacy of public institutions and providing quality goods and services to citizens. Taking into account the civil service systems reform in OECD member countries and in consideration of their standards, the articulation of a professional management model within the framework of the Peruvian Civil Service Reform is crucial. The development of the public managers group is therefore a priority to achieve valuable results within the context of the Civil Service Reform.

With this background, the current situation of the Peruvian public management is presented below.

I. CURRENT SITUATION OF THE PERUVIAN PUBLIC MANAGEMENT

1. Organization of the Public Entities

To describe the current situation of the management layers it is necessary to previously revise some concepts related to the State organization and the public entities comprising it.

The Peruvian State is organized into three levels of government: national, regional, and local. The National Government is organized into three branches (Executive, Legislative, and Judicial) and constitutionally autonomous bodies. Next, a brief description is made of the grouping of public entities of the National Government according to the structure of the State, which will be useful to identify the limits of the public managers group with respect to the other groups of the civil service regime.

TABLE No. 1
Classification of Public Entities of the National
Government according to the Organizational Structure of
the State⁷

| National Government | |
|---|---|
| Executive Branch | |
| Ministries | They are public entities of the Executive Branch that comprise one or more sectors. They design, establish, execute and supervise national and sectoral policies, assuming their directorship. |
| Public executing agencies | They are created when the scope of an entity's operations is significant or when the provision of specific services is required. |
| Specialized technical agencies | They are created by exception and their existence is due to the need to plan and supervise, or to execute and control long-term State policies, of a multisectorial or intergovernmental nature, which require a high degree of functional independence. |
| Regulatory agencies | They are created with the purpose of acting in specialized areas of market regulation or to ensure the proper functioning of non-regulated markets, ensuring protection throughout the national territory. |
| Programs | They are functional structures created to address a problem or implement a specific public policy, in the field of competence of the entity to which they belong. |
| Special projects | They are a set of activities of a temporary nature aimed at achieving one or several objectives in a limited period of time through a defined methodology. |
| Administrative bodies of intangible funds | Their purpose is to provide coverage to the insured and their beneficiaries through the provision of prevention, promotion, recovery, rehabilitation, and economic and social benefits that correspond to the Social Security contributory health care system, as well as other human risk insurance. |
| Governing bodies of administrative systems | The governing bodies are those technical-regulatory authorities at the national level that are in charge of an administrative system and which dictate the rules and establish the procedures related to their scope. |
| State companies | They must have been expressly authorized by ordinary law, within the framework of a social market economy, in accordance with the provisions of the Political Constitution of Peru. State companies are not considered within the civil service regime. |
| <i>Legislative Branch</i> | The Legislative Branch consists of the Congress of the Republic. It is the representative body of the nation, in charge of performing legislative functions, political control and other functions established by the Constitution. |
| <i>Judicial Branch</i> | Its exclusive power is the administration of justice through its institutional bodies. |
| <i>Constitutionally autonomous agencies</i> | They are agencies with economic, administrative, functional, technical, and financial autonomy. In this context, they have autonomy for the exercise of their functions with respect to the branches of the State. |

⁷ Adapted from Law No. 29158, Organic Law of the Executive Branch.

1.1 Organizational Structure of Public Entities

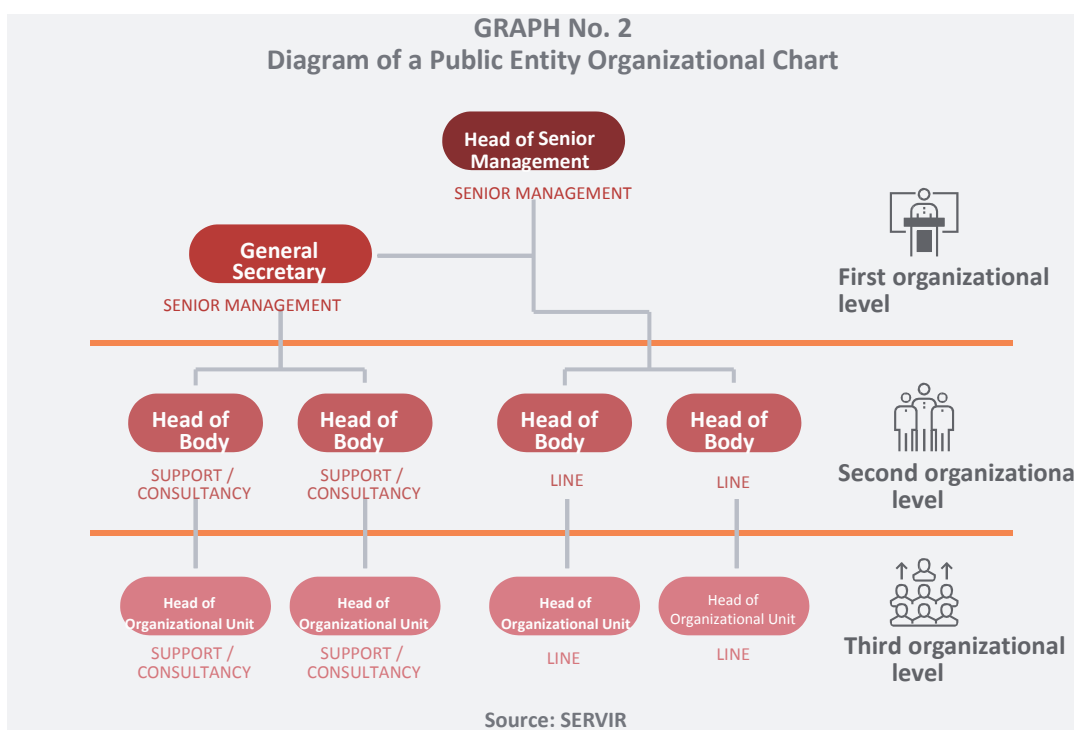
The public entities of the three levels of government are organized into bodies and organizational units. The organizational relationship between these bodies is determined through the organizational level and the hierarchical relationship through the hierarchical level.

The bodies⁸ are the organizational units that make up the organizational structure of the entity. Their functions and duties have been defined in the Regulations on the Organization and Functions (ROF, for its Spanish acronym) of the entity and may have one or more organizational units⁹ under their responsibility. Organizational units are the units that make up the bodies of the public entity's organizational structure.

On the other hand, the category within the organizational

structure of the entity related to the relationship between the bodies or organizational units according to their functions and duties is called organizational level¹⁰, and the hierarchical level¹¹ relates to the hierarchical relationship of the positions within the organizational structure of the entity.

These concepts are useful to define the management positions and their scope within public entities and the organizational structure of the State in general. In this regard, a management position¹² is defined as the position of the body or organizational unit responsible for its management. That is, it includes the heads of bodies, organizational units, and decentralized bodies. Once the public entities join the civil service regime, such positions will be part of the public managers group or the highest level of the career civil servants group, as presented below.



⁸ Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities". Chapter 1, article 5: Definitions.

⁹ Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities". Chapter 1, article 5: Definitions.

¹⁰ Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities". Chapter 1, article 5: Definitions.

¹¹ Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities". Chapter 1, article 5: Definitions.

¹² The heads of bodies are not included as they are part of the public officers group.

Likewise, the bodies and organizational units of an entity are defined under the following typology:

1) Senior management: Senior management exercises the function of political and administrative management of the entity. It represents the first organizational level of the entity and is made up of the body that constitutes the highest authority of the entity and the body that constitutes the highest administrative authority of the entity, whenever they are different. Its function is to manage the entity, supervise its activities, regulate and approve public policies¹³.

2) Line Bodies: They are the technical-regulatory bodies responsible for formulating, executing and evaluating public policies. Likewise, they are responsible for carrying out the technical, regulatory and execution activities necessary for the fulfillment of the institutional objectives within the framework of the substantive functions for which the public entity is responsible.

3) Consultative bodies¹⁴: They are, in general, commissions or other consultation spaces in which specialists or representatives of groups with a specific interest are summoned to issue their opinion or recommendation on previously determined matters. Their opinions or recommendations are not binding upon the entity and its members participate ad honorem.

4) Support bodies: They are the bodies that are responsible for carrying out the internal administration activities that allow or serve as support for the effective performance of the entity and its various bodies in the fulfillment of the substantive functions.

5) Advisory bodies¹⁵: They are the bodies that provide legal advice, planning and budget functions, including rationalization and international technical cooperation activities. BO

6) Judicial defense body¹⁶: It is the body responsible for the judicial defense of the rights and interests of the State. The ministries and other entities expressly authorized will have a judicial defense body. The functions of public prosecutors are determined by the Judicial Defense Council of the State and must be included in the Regulations on the Organization and Functions (ROF).

7) Institutional control body¹⁷: The institutional control body is the body that makes up the National Control System. Its head has functional and administrative relationship with the Comptroller General of the Republic.

8) Decentralized bodies¹⁸: They are bodies of the entity with specific functions assigned according to a specific territorial area. They act in representation and by delegation of the entity within the territory in which they exercise their functions.

After making this brief introduction of the organization of the State and its entities, an initial approach is presented below regarding the number of positions in the bodies, organizational units, and decentralized bodies, in the National Government and regional governments. For purposes of this diagnosis, these positions are referred to as “management positions”, since what they have in common is that they are heads of bodies, organizational units or decentralized bodies.

¹³ Supreme Decree No. 043-2006-PC. “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”. Title II, chapter 1, article 11 and chapter 2, article 14.

¹⁴ Manual to prepare the Regulations on the Organization and Functions (ROF). Secretariat of Management - Presidency of the Council of Ministers. 2007 – Chapter II: How to prepare the regulations on the organization and functions.

¹⁵ Supreme Decree No. 043-2006-PC. “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”. Title II, chapter 2, article 18.

¹⁶ Supreme Decree No. 043-2006-PC. “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”. Title II, chapter No. 3, article 24.

¹⁷ Supreme Decree No. 043-2006-PC. “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”. Title II, chapter 3, article 25.

¹⁸ Supreme Decree No. 043-2006-PC. “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”. Title II, chapter 1, article 11.

2. Description of the Peruvian Public Management

According to the report Characteristics of the Peruvian Civil Service (SERVIR 2016), as of 2014, the Peruvian Civil Service had 1,405,000 civil servants with an increase of 36.93% over the same year. Considering civil servants by level of government, the National Government has 30% of the total number of servants; regional governments, with 47%, and local governments, with 14%¹⁹.

Taking into account the labor regime in which they are considered, 50% of the servants are part of some of the special careers available to the Public Administration (teachers of basic education, health professionals and health care assistants, armed and police forces, diplomats, university professors, magistrates, prosecutors, and prison servants). Likewise, 19% are under Legislative Decree No. 1057 (CAS), 18%, under Legislative Decree No. 276 and 13%, under Legislative Decree No. 728.

In order to complement the information regarding the group of public managers, a mapping of the positions related to the head of bodies, organizational units, and decentralized bodies was started, with the aim of identifying them in all public entities. These positions would represent all the positions of the group of public managers and positions at

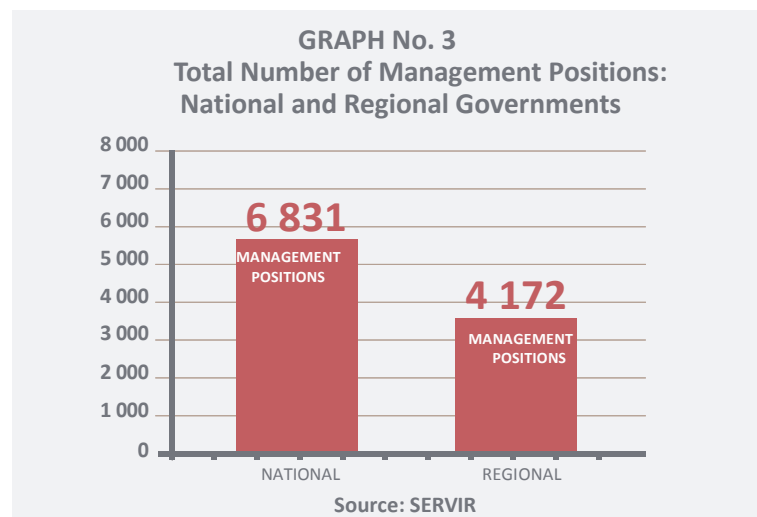
the highest levels of the career of the new civil service regime.

To carry out this activity, the information contained in the management documents of each entity was used, reviewing their organizational charts, personnel allocation tables, regulations of organizations and functions, and organization and function manuals. Based on the information found, the management positions of all public entities of the National Government and the regional level were registered. From the registry, a database was consolidated with all the information collected, which is the source of SERVIR for the statistics presented below²⁰.

Information was processed from 188 public entities (151 from the National Government level and 37 from the regional government level) and 182 programs, projects or decentralized bodies (109 from the National Government level and 73 from the regional government level).

Based on the above, the most important results obtained from the information collected are the following:

- A total of 11,003 management positions²¹ have been identified as of May 2016. They are distributed in 6,831 positions at national level and 4,172 management positions at regional level.



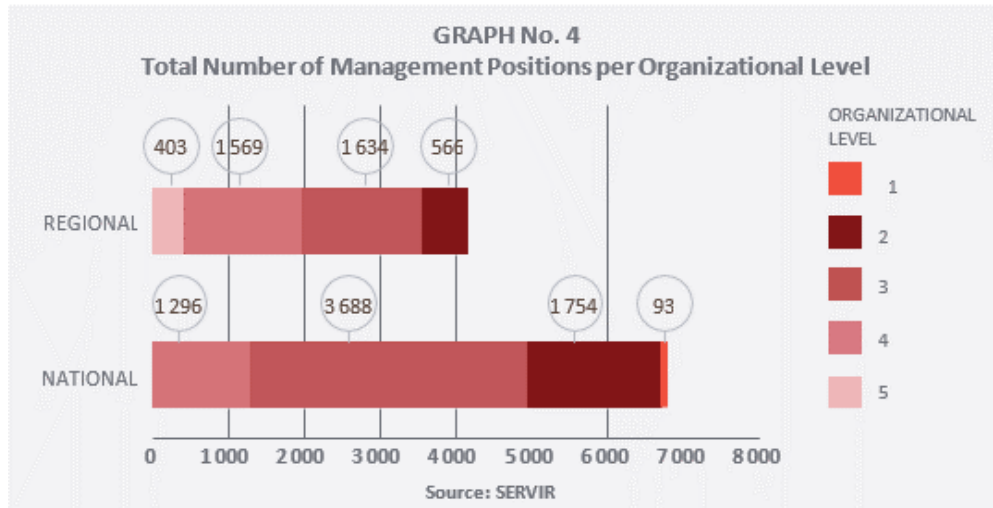
¹⁹ Further information is available at http://storage.servir.gob.pe/biblioteca/SERVIR-El_servicio_civil_peruano-Anx1.PDF.

²⁰ Although the management documents may not be up-to-date, usually outdated information affects professional positions more than management ones, particularly due to the legal responsibilities that correspond to the headship of bodies and organizational units.

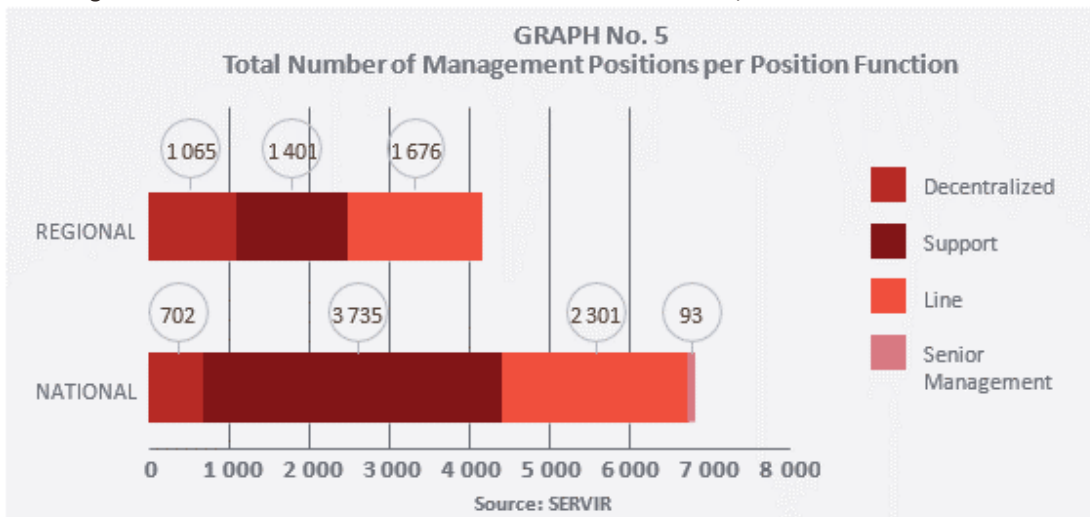
²¹ The heads of bodies that are part of the public officers group are not considered.

- A total of 93 management positions have been identified within senior management in national entities other than Ministries. These positions correspond, for example, to secretaries general or general managers of National Governmental Public Bodies and constitutionally autonomous agencies.
- The greatest number of management positions are consolidated in the second and third organizational levels.

The greatest number of management positions are consolidated in the second and third organizational levels. Both levels consolidate approximately 70% of the identified management positions. The number of posts at the third organizational level is approximately 50% higher than the second organizational level at the national level. Some positions at the third organizational level are in the highest levels of the career, which is why conceptual and organizational differences will be made later on against the public managers group.

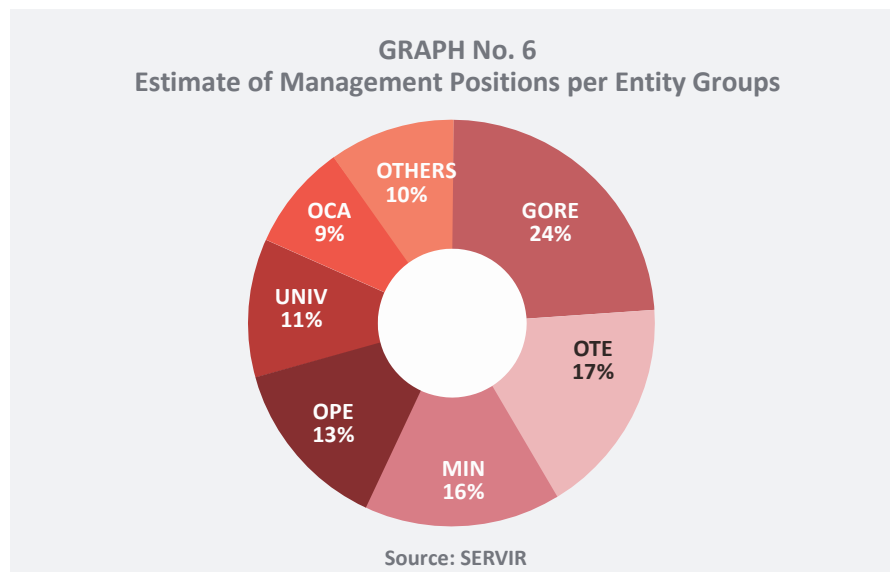


- On the other hand, 1,296 management positions at the national level (and 1,569 management positions at the regional level) were recorded as part of the fourth organizational level. These positions would actually correspond to the highest levels of career civil servants.
- With regard to the role of the position (types of bodies), it has been identified that there is 1% of senior management positions, 47% of support / advisory positions, 36% of line positions at the national and regional government levels, and 16% of positions in decentralized bodies.



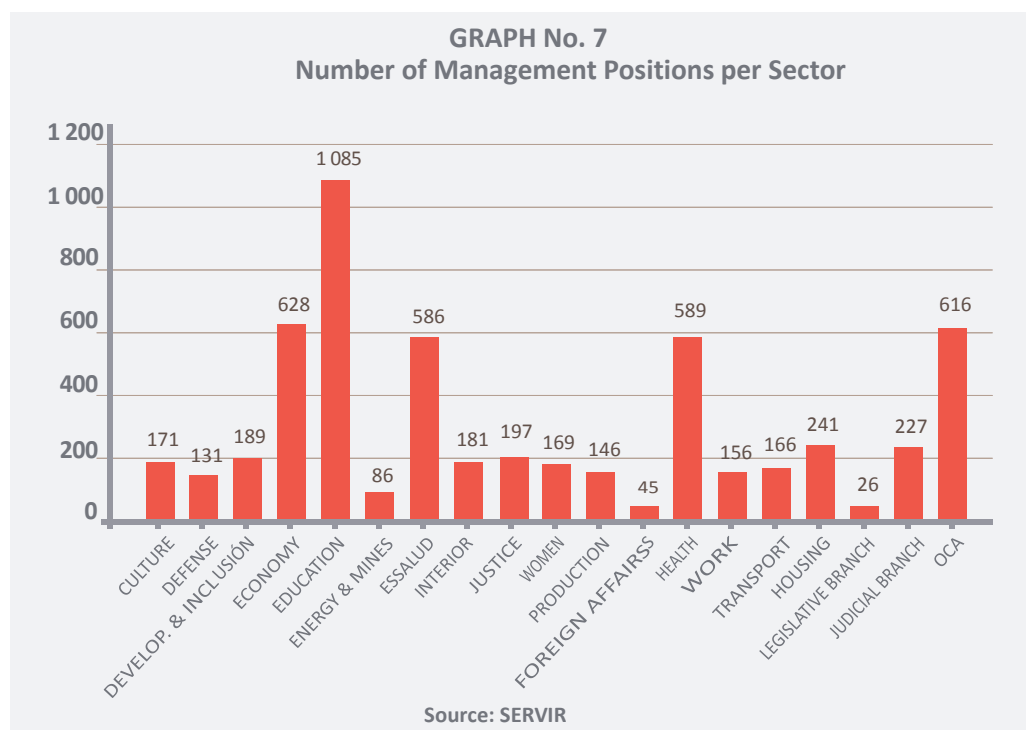
- When classifying the entities by groups according to the organizational structure of the Peruvian State, there is a greater number of management positions in the central headquarters of the regional governments (24%),

followed by technical-specialized agencies (17%), and ministries (16%).



With respect to the Executive Branch sectors, the education²², economy & finance²³ and health sectors consolidate the

greatest number of management positions with 15,89%, 9,19%, and 8,62% of the total number of positions, respectively.



²² It includes management positions of national universities.

²³ It includes management positions of SUNAT.

3. Issues identified in the Peruvian Public Management

As SERVIR points out, there are several problems that have framed public management for many years. One of them has been the absence of a human resources management policy (SERVIR, 2012, pp. 89-90).

In past decades there was unplanned and unstructured civil service growth. Likewise, unlinked norms were dictated, which gave rise to the coexistence of dissimilar regulations. Currently, there are different labor regimes in the Peruvian public sector that generate specific rights and obligations depending on the servant's hiring regime.

Additionally, disparity in the treatment of human resources management processes (selection, training, evaluation, mobility, separation, compensation and incentives) has existed for a long time, based on the servant's labor regime. The selection has been mostly based on the characteristics of the person to be chosen and not on the characteristics of the position. The compensation system has been unequal, since there are gaps between the different State entities and levels of government.

On the other hand, the training processes have not necessarily been linked to the knowledge needs for the position or contributed to the achievement of the institutional objectives and there has not been an evaluation of the impact of training. In the same way, the evaluation processes either have not existed or have not necessarily been linked to the performance of the servants.

As a consequence, there has been a high degree of discretion in the progression of the servants, due to the absence of objective criteria for the preparation of career lines²⁴.

"Countries with developed civil service systems have gone through three stages in their Public Administrations: the pre-bureaucratic stage characterized by customer-based and patronage relationships, the bureaucratic stage, Weberian paradigm, that prioritizes professionalism, merit, and adherence to the rules and, finally, the so-called post-bureaucratic paradigm (...) which includes management, flexibility, and economic rationality principles" (SERVIR, 2015, p.18).

On the other hand, given the historical evolution of their Public Administrations and global trends, developing countries are migrating or have migrated from pre-bureaucratic systems to merit-based models with some features of new public management (especially in the management group) such as Chile, Brazil, Costa Rica, etc. In many cases, public entities in Peru are currently in a pre-bureaucratic system and the so-called "islands of efficiency", which would be within the post- bureaucratic paradigm.

Manuel Villoria Mendieta, in the foreword of the book *Institutional Reforms: The reform initiative of the Peruvian Civil Service* by Juan Carlos Cortázar (2014) reflects on the Peruvian Public Administration (2008) and affirms that pre-bureaucratic characteristics still remain in its core:

²⁴ A summary of the situation of the Peruvian Civil Service is documented through the institutional diagnosis of the Peruvian Civil Service System, carried out by the IDB in 2004. See: Inter-American Development Bank (2006) Report on the situation of the civil service in Latin America. Inter-American Development Bank, pp. 421-446.

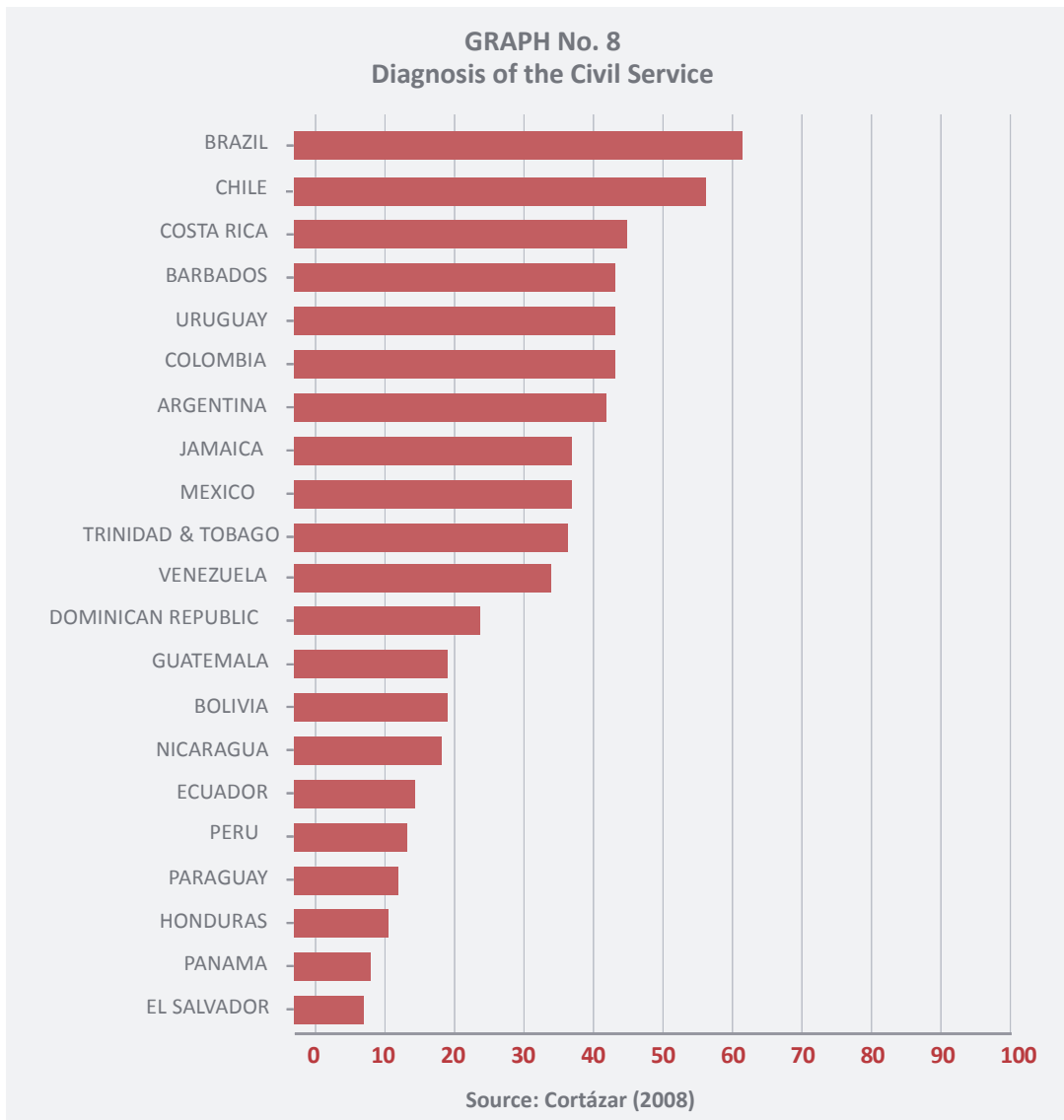
[...] in a pre-bureaucratic administration, public employees are generally recruited by the appointing authority among ideological and personally like-minded individuals; they are selected by the political power they serve without internal and external controls, strong loyalty is expected from them, and people associated to the political party are preferred, and within the party, the faction that appoint them. This is possible, in the Peruvian case, due to the proliferation of politically appointed positions as a mechanism to prevent recruitment and promotion based on merit. A good performance evaluation of public employees is linked, rather than merit, to loyalty and discipline to the political leaders to whom they report to, even beyond official agencies. Legal rules do not necessarily represent an impediment to the pursuit of political objectives. There is no job security, no formal training, defined career, or human resources planning, among others deficiencies. This type of Administration occurs in political systems where prebendalism is the common trait of the parties, the rule of law is weak and corruption is high. This model hinders industrialization and development (Villoria, in Cortázar, 2014, p. 12).

This situation of institutional weakness was identified by the IDB when carrying out, in 2004, the institutional diagnosis of the Peruvian Civil Service system together with that of civil service systems in twenty countries²⁵. Peru was 17 among 21 countries.

Access to employment is among the issues addressed by the diagnosis. On this, he asserts that there is a problem in the entities subject to the public regime, since these competitions:

are a formality and the hiring mainly depend on the decision of the requesting unit and of those who will be immediate supervisors of the hired person. This opens the door to clientelism and arbitrariness practices in the hiring of public employees (IDB, 2006, p. 428).

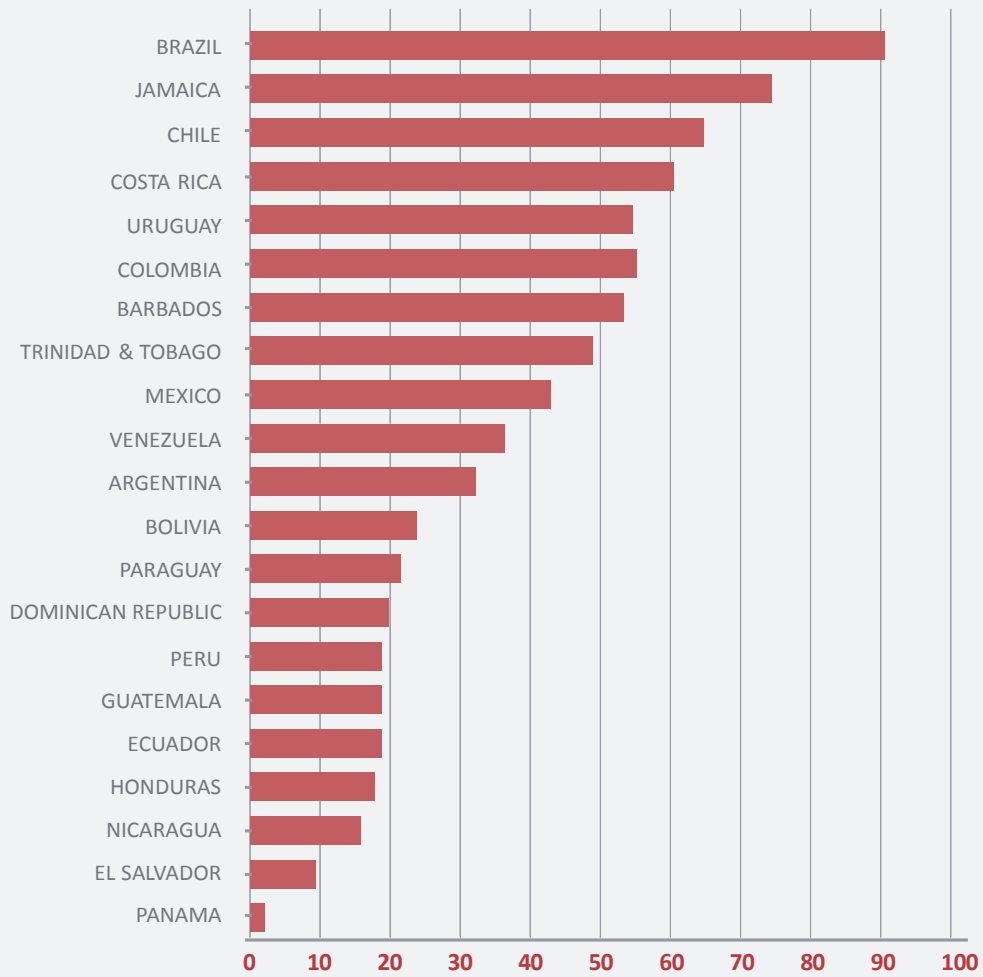
²⁵ This study was carried out between 2003 and 2004 with the methodology described in LONGO, F. (2002). Institutional framework for the diagnosis of Civil Service Systems Barcelona: ESADE.



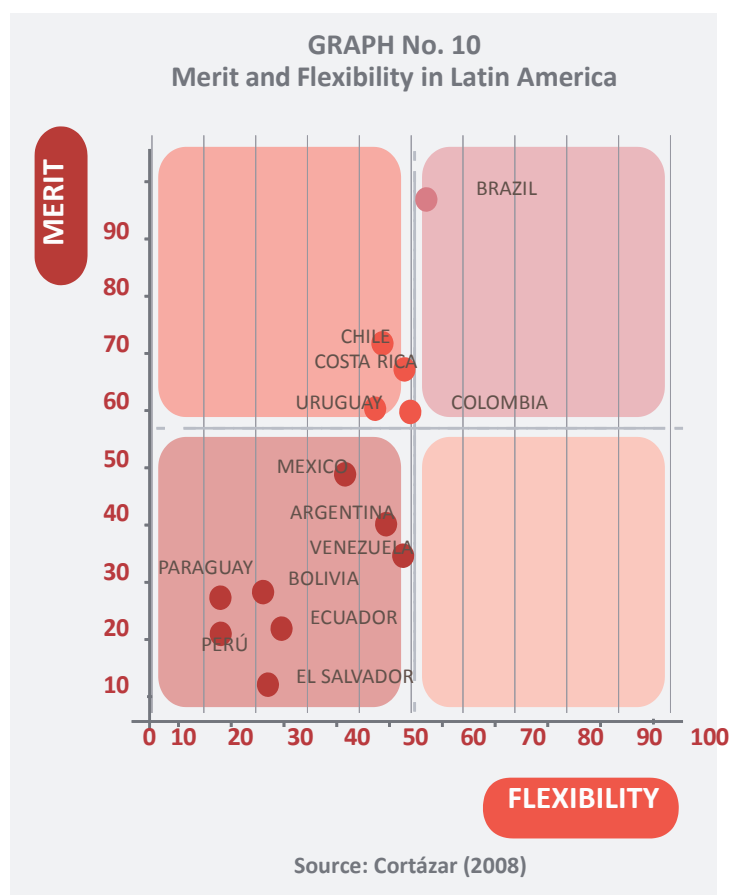
In the case of the merit indicator in this study, which measures the level of professionalism guarantees in the functioning of the civil service, as well as the degree of

effective protection against arbitrariness, politicization and the search for income, the Peruvian Civil Service was 15 among 21 countries. This situation explains why the Peruvian Civil Service was located in a quadrant of institutional weakness.

GRAPH No. 9
Merit Index

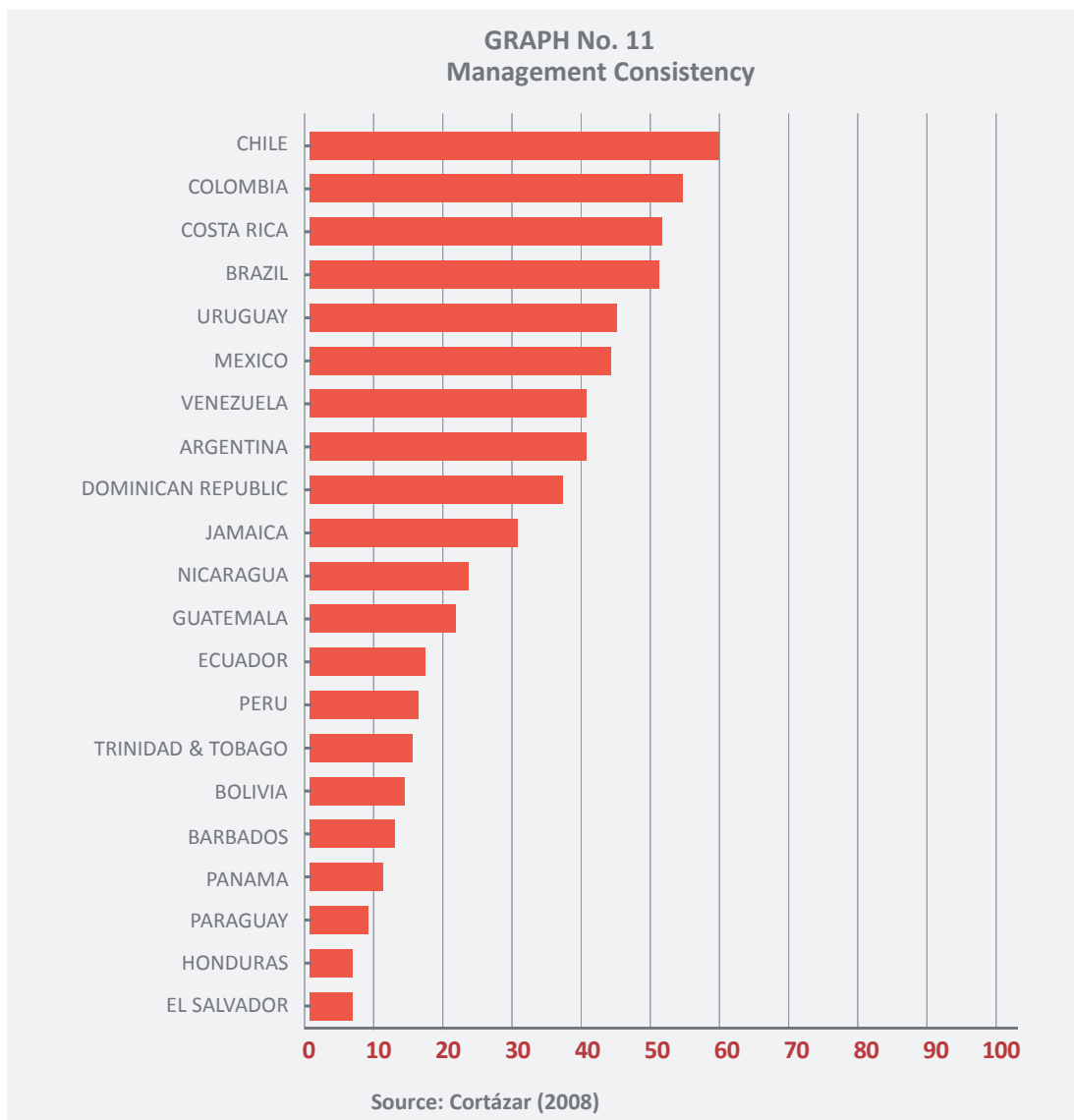


Source: Cortázar (2008)



Notwithstanding the fact that the management layer shares this problem as it is part of the Peruvian Civil Service, there is a specific problem in the Peruvian public management.

Regarding public management, the same measurements show indices on management consistency, which measures public management capacity, where Peru also obtained a below-average rating.



For this reason, the Peruvian Civil Service was classified within the lowest levels of the civil services studied. These bureaucracies have a minimum development,

with attempts (many were unsuccessful) to incorporate criteria of merit and 'politicized' entry into the public function (Iacoviello, 2005, p. 14).

The professionalization of senior management in Public Administration is another important priority. The definition of a space for professional public management, with access and compensation mechanisms based on merit and performance, and endowed at the same time with an adequate, rigorous and flexible statute of guarantees, is the first step, which we find only in some cases at the national level. The provision of this space with trained public managers will call for specific recruitment, training, and development programs, which will require significant efforts (Longo, 2005, p.41).

These significant efforts represent a real challenge, since historically the Peruvian State has been characterized by mainly having a public management model that in the specialized literature is known as “politicized” (Villoria, 2009, p. 107).

Managers have been mostly appointed employees²⁶ of senior management in public entities. While it is true that there is a rational scope for hiring appointed employees, where the percentage is very high as in the Peruvian case, large discretion spaces are generated and which are not well used as they become arbitrary, affecting the professionalization of the management function. Certainly, this does not mean that political appointment is negative in itself or that there are no good politically appointed public managers. However, experience shows the inconvenience posed by very broad political appointment.

Generally, the characteristics of a “politicized” management model consist of an “open” system of management positions. In these positions, politicians and senior officers can appoint any person to perform their duties, provided they have their trust. In other words, the criterion for appointing a person in a management position is tied primarily to the degree of trust that the politician or officer has in the person to occupy the position. This system does not require performance criteria focused on management results; therefore, performance evaluation is political, nor does it allow for the measurement of qualifications or competencies; it only guarantees the appointed manager’s political loyalty towards the politician or officer on duty (Villoria, 2009).

The persistence of a politicized model of public management - and, as a consequence, the insufficiency of human resources with the competencies to manage the entities- has had a negative impact on public management within the State, historically affecting the continuity of policies and the generation of conditions for development and competitiveness in the country.

This problem prevents, on the one hand, the professionalization of public managers with the necessary competencies to manage public entities, and on the other hand, that implementation of the necessary reforms in order to develop governance in the country. As long as these problems are not solved, the Peruvian State will continue to have a Public Administration that, in many spaces, can be characterized as based on a spoil system (distribution of posts for eminently political reasons) to the detriment of the development of the country and that does not allow satisfying the needs of its citizens.

Management strategy of the public managers group

The Public Managers Cadre (CGGPP, for its Spanish acronym) has been, since its inception, a focused response to a large part of the aforementioned problems. The CGGPP was created through Legislative Decree No. 1024 and its objectives are to convene highly capable professionals, selected through meritocratic and transparent processes to be appointed to management and middle management positions in National Government, regional government and local government entities as requested to SERVIR. Also, to develop management skills, gradually professionalize the highest levels of Public Administration and promote Civil Service Reform.

The CGGPP was constituted in 2008. The main problem to resolve was the insufficiency of human resources with the competencies to manage public entities (Governa, 2012) as the result of a politicized public management model. In this regard, it can be seen that the CGGPP has been positioning itself as a first step of the management strategy of the public managers group, whose objective is the professionalization of the management layer in the Public Administration.

It has been seven years since the CGGPP started as the first response to the problem of public management. During this period, a management model has been validated based on concrete results and learning experience in line with the

²⁶ For the purposes of this document, politically appointed managers hold positions related to unrestricted appointment and dismissal.

national context²⁷, which constitutes an advance in the public management professionalization efforts.

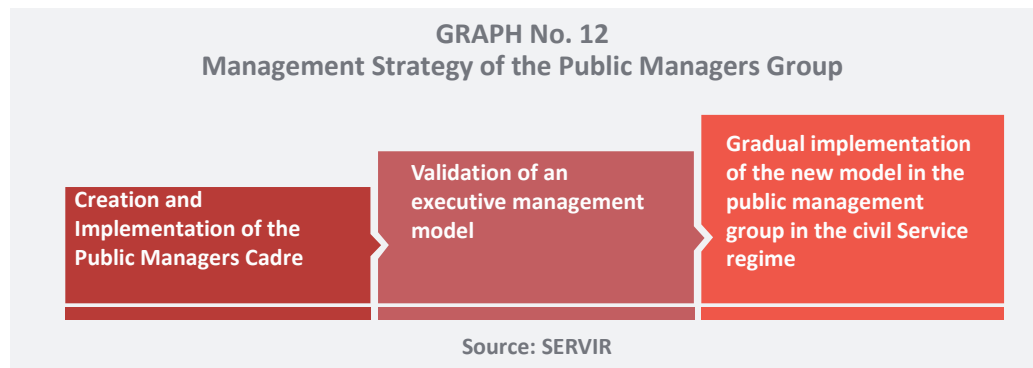
Through this initiative, SERVIR has been improving the use of techniques for the survey of management position profiles. This experience has been useful for the development of the Manual of Standard Positions in the part corresponding to the public managers group of the Civil Service Act regime.

Likewise, the selection processes carried out to incorporate public managers were initially commissioned to external consultants, but then SERVIR began to take over the execution of the various stages of the selection processes, which, to date, have obtained the ISO 9001 quality certification. As of June 2016, there are 21 completed selection processes. The selection processes of public managers are recognized as rigorous and meritocratic. This is one of the most important elements in the management model of the public managers group. The validation of a process to select servants for management positions has an intrinsic strategic value: the selection of better qualified personnel is one of the best investments that a State could make with respect to the human resources it has. International experiences such as the Chilean Public Senior Management System are proof of this.

The approval of public managers' probationary periods has exceeded 99%, despite the fact that the vast majority of managers had no links with the target entities to which they were appointed. Likewise, the appointment agreements with performance targets based on indicators, set for all public managers, were improved with monitoring and support strategies by SERVIR, which substantially improved the performance of the managers in the past years.

Likewise, the training of public managers has been accompanied by the training of their teams, an initiative that has contributed to the development of the skills of the professionals under their responsibility and the increased commitment to management goals. Likewise, there are other elements that, through the Public Managers Cadre, have been developing a *know-how* on management that allows to conduct with greater expertise the implementation of the public managers group of the entities in the civil service regime.

This experience has been one of the key inputs for the development of this management model, which is framed by Act No. 30057, Civil Service Act.



²⁷ To better understand the contribution of the Public Management Cadre in the development of the Peruvian Civil Service, the civil service institutional diagnostic reports, carried out by the IDB and published in the years 2011, 2014, and 2015 may be consulted.

II. CONCEPTUAL FRAMEWORK OF THE PUBLIC MANAGEMENT FUNCTION

Having summarized the problem and the current state of the public management in Peru, below we will address the conceptual framework of the public management function.

1. Public Management

According to the Ibero-American Charter for the Public Service, the leadership segment consists of a set of management positions directly beneath the political level of the governments, whose role is to manage, under the strategic guidance and supervision of each government, the structures and processes used to implement public policy and provide public services (CLAD, 2003, pp. 26-27).

The appearance of managers in Public Administration was a consequence of the provision of goods and services expansion offered by the welfare State; thus, government legitimacy as a mere subject to law became obsolete (Longo, 2002b, p.1). Approaches based on efficiency and effectiveness in the provision of goods and services began to position themselves in Public Administrations, incorporating “business” logic, nonexistent so far in the State, which allowed the opening of space in Public Administration by including *managers*. These contributors of the *ethos* for economic rationality would guide the administration towards the promotion of efficient and effective improvements in the public sector (Longo, 2002b, p.2).

Principles such as economic rationality, deeply linked to the achievement of results or customer oriented,

historically been part of the organizational culture of bureaucracies. Generally, operational management linked to the function of professionals has involved the mechanization of processes and tasks; thus, losing the connection with the strategic approach formulated in public policies aimed at results for the citizens, and rather more linked to the political stratum.

To promote the inclusion of principles based on economic rationality, it was necessary to include public servants “with an area of delegation in which the exercise of core managerial discretion is feasible in subjects and decisions specific to management” (Villoria, 2007, p.146), recognizing a management area to be fulfilled by public managers. “The framework for exercising this management function (...) involves the articulation of contract-based relationships with political leadership based on the principle of accountability for results” (Echebarría, 2005, p.12).

The right to “manage” granted to public managers involves having certain margin for discretion in their management area in exchange for the accountability undertaken by them in achieving results. Therefore, accountability for results is one of the most important principles in public management unlike other actors within civil service systems. As a matter of fact, traditionally, public officers²⁸ undertake political responsibility as a consequence of actions under their scope. The political representatives are the ones who take responsibility when a given sector or public institution is politicized or political crisis occurs. These crises may be related to the lack of expected results or some other cause not attributable to them.

However, if the political crisis is related to failure on achieving results, what determines the political responsibility of a civil servant is the political fallout generated by the failure of the result and not the failure itself, unlike the situation with public management. In which case, non-compliance of results would comply to the scope of their responsibility, and certainly if the

resources to reach them have been in place.

Similarly, professionals or career civil servants who aim at results, given their specialized and mainly operative field of action, are not responsible for the outlined results, unlike managers, but rather by the orientation of their individual goals towards results.

There is consensus among various authors on the importance of executive management under the principles of economic rationality and results-based management. Jiménez (2009), for example, notes that one of the basic goals of managers is to obtain results at minimum cost and be accountable for the management of resources and the results of the organization.

2. Approaches of the Public Management Function

There are several models of public management function, among which, the three reference models documented by Villoria (2009) are particularly relevant. “According to the author, there is a first bureaucratic public management model, which is characterized by the professionalism of the management function through a vertical and closed career. Within such model, the peak of the career is public management; therefore, management positions are appointed for life. France and the United Kingdom are examples of this model (before the “Next Steps” reform” (SERVIR, 2015, p.24).

“A second model, the “politicized” public management model, is characterized by an open system of management positions in which the criteria for appointment is political trust with absolute discretion in selection and dismissal matters and which disregards the competencies required. Examples are some developing countries and Spain before the reforms of 1997 and 2003 (Villoria, 2009)” (SERVIR, 2015, p.24). “This model is the one that currently exists on a factual basis in the Peruvian State, in which the vast majority of management positions are appointed by trust.

²⁸ The definition of public officers from the Civil Service Act is used: “It refers to a political representative or a representative public office performing government functions in the State’s organization. They lead or participate in the management of the entity and approve policies and rules” (Civil Service Act, article 3).

Performance evaluation is political and does not measure professional qualifications or competencies (Villoria, 2009)” (SERVIR, 2015, p.24). Moreover, a politicized model is against the fact that managers benefit from a space of reasonable autonomy in the face of political power (IDB, 2015, p.233).

Finally, there is the managerial model, which has the characteristics of the management function model to be gradually implemented within the Civil Service Reform. The model has the following characteristics:

**TABLE No. 2
Management Model of Public Management Functions**

| Management Model of Public Management Functions | |
|--|---|
| 01 | It refers to the model resulting from the development of ideas and values regarding effectiveness and efficiency within the public sector. |
| 02 | It has some influence of the private sector and requires the description of management positions. |
| 03 | Its initial objective was to recruit public managers with experience in management functions in the public or private sector. |
| 04 | Access is through instruments that guarantee that it was a merit-based process. |
| 05 | Public managers are professionals in management (by commitment, knowledge, skills and abilities). |
| 06 | There is a public process for selection or appointment based on the provision of evidence to demonstrate existing competencies. |
| 07 | Once selected, managers have their own or delegated powers to lead the organization (personnel, organization, budgets, etc.). The idea is to allow managers to lead within the framework of plans or “Public-Private Partnership Agreements” defined by the principal, which is the government. |
| 08 | For this purpose, there is a framework of responsibilities: management agreements, assessment, indicators, etc.; a framework that defines the accountability system of such managers to the government, Parliament and the public. |
| 09 | A system of incentives is ensured to facilitate effectiveness and efficiency: rewards and sanctions (especially, dismissal for breach of contract or indicators undertaken). |
| 10 | The position is exercised on a temporary basis in performing functions (subject to results or a pre-fixed term of office). |
| 11 | The dismissal system is mainly linked to performance: there are no discretionary or “political” dismissals. Regular dismissal is based on insufficient management results or end of term of office period for which the manager was appointed. |
| 12 | Examples: The United Kingdom, Australia, New Zealand, the United States, Canada, and Chile. |

Source: (Villoria, 2009, pp. 107-108)

A major advantage to this model is the ability to articulate the field of public management

professional careers.

Comparing the three models, it seems obvious that the last one is the only model that meets the criteria of professional management functions. The first one relates to professional careers, but not to the management field. The second one may be related to management but not to professional careers. And only the third one allows articulating management with professionalism (Villoria, 2009, p. 108).

3. Public Management Functions: Management Model

“The inclusion of public managers within the political and bureaucratic levels of Public Administration has meant an irruption in conventional Weberian rationale, altering the status quo of politicians and professional bureaucrats, positioning itself as an articulating hinge between these

actors” (Longo, 2002b. In: SERVIR, 2015, p.25).

“In this regard, the leadership segment faces the challenge to counteract the expected resistance from traditional actors in public service²⁹ and also find its own space to allow developing a managerial public function model” (SERVIR, 2015, pp.25-26).

This ‘mediating institution’ role of public management requires that such public managers know how to reasonably harmonize some professional management competencies with political sensitivity. Their position is strategic and proper functioning of Public Administration depends largely on proper institutionalization of the ‘third space’ (Jiménez, 2009, p. 22).

It is true that there is no single management model. It is important to note that:

[...] Public Administrations and their changes are context-dependent, historical-dependent and leadership-dependent. In this regard, each country follows its own history, some by early incorporating New Public Management instruments and being therefore between post-bureaucratic processes, while others are working on building a rational administration, with clear Weberian features (Villoria in Barrios, 2013, p.8. In: SERVIR, 2015, p.26).

²⁹ “The vague area of the management segment makes management functions vulnerable and drive them away from their fundamental purpose. In particular, there are obvious dangers of appropriation of the leading role by the aforementioned traditional actors (Longo: 1999). This is what happens when the management area is politicized, assuming a customer-biased relationship, where the political classes and party interests colonize the management area. It is also the case when management is bureaucratized, becoming a mere execution of rules or application of procedures and guidelines defined by inertia, and moving away from the accountability for results. This is what happens when the ordinary management function endorses it, by generating distortion” (Longo, 2002b, pp. 6-7).

“One of the models which provides input to define the public management function model, is the one proposed by the Kennedy School of Government of Harvard University, discussed among others by Mark Moore (1995), who defines public management as a ‘creator of public value’ (Longo, 2002b, p.7. In: SERVIR, 2015, p.26).

“Value will be generated provided that the benefits that the State gives its citizens are greater than the costs incurred by the latter. In other words, we can define public value as the value created by the State through services, laws, regulations and other government actions” (Kelly, Mulgan and Muers, 2003. In: SERVIR, 2015, p.26).

“Now, by focusing on the term ‘value’, we realize that it refers to the degree of appreciation that a person or group of persons assign to a particular good. That is, it is closely linked to their preferences. This relationship can be appreciated when we refer to public value: public preferences are at the heart of public value, since in a democracy only the public

(citizens) are able to determine what is valuable (Kelly et al., 2003). These public preferences are socially formed in the family, peer groups or public debate (Kelly et al., 2003). The work of public officers and public managers is to identify these public preferences in order to collect and structure them. We will be creating public value to the extent that these citizen public preferences are met” (SERVIR, 2015, p.26).

Moore, in *Creating Public Value: Strategic Management in Government* develops the idea of public value based on “a break with the conventional dichotomy between politics and administration, creating a new kind of public decision-maker, managers, and political capacity, effectively expressed through the so-called political management” (Echebarría & Castanyer in Moore, 1998, p.16. In: SERVIR, 2015, p.26). Moore proposes a method by which public managers can analyze the creation of public value. This method is based on the idea that:

[...] public managers are able to develop a useful concept of public value if they integrate: a) the substantive reflection on what is valuable and effective; b) an assessment of the political expectations; and c) an analysis of what is operationally feasible. In short, when devising public value, managers must find a way to integrate the political dimension, the strategic dimension and the administrative dimension (Moore, 1998, p.47. In: SERVIR, 2015, p.26).

“Moreover, it is worth adding that the development of a public management function model in Peru is part of a larger reform, the Civil Service Reform. In that regard, it is important to take into account not only the internal situation of the current leadership segment, mostly occupied by politically appointed positions, but also the context in which the implementation of the New Public Management function will occur. It is important to emphasize that, in addition to securing the position of the public management group through the creation of public value, the leadership of public managers must be ensured from their scope in the development of Civil Service Reform. Therefore, the public managers’ actions must take into account the current context and the mechanisms of resistance towards the implementation of Civil Service Reform systems” (SERVIR, 2015, pp.26-27).

In other words, the management function model cannot be implemented in a neutral field, but rather in a predominantly customer-based context that will surely offer resistance to the implementation of a system based on meritocracy.

In this respect, it is worth mentioning Grindle (2012), who developed a comparative study that analyzed the political process that replaces patronage relationships with civil service systems based on merit (SERVIR, 2015, p.27). The author argues that it is the implementation aspect and not the law which determines the degree of persistence in this kind of system in the recruitment within the civil services, as

has happened in Brazil, Argentina, Mexico, and Chile. In the book *Jobs for the boys. Patronage and the State in Comparative Perspective* (2012), a comparative study is made on several Latin American and Anglo-Saxon countries, which shows the twists and turns in the implementation processes of civil service systems.

Resistances to these civil service systems come from customer-employer relationships which the author defines as “pyramidal structure of agreements between superiors and many subordinates, in which a position in the public sector is rewarded with some form of loyalty to the superior” (Grindle, 2010, p. 3).

When it is well established in the State, the customer-employer relationship hinders a sustained reform over time, initiating constant construction, deconstruction and reconstruction processes. This panorama, present in countries such as Brazil, Chile, Argentina, Mexico, New Zealand, etc., leads the author to conclude that it is the implementation of civil service systems and not their laws that determines the degree of persistence of a patronage system.

The following is a detailed table showing the mechanisms of resistance to the implementation of civil service systems in the aforementioned book:

TABLE No. 3*
Resistance Mechanisms to Civil Service Systems

| Resistance Mechanisms to Civil Service Systems | | | | | |
|--|---|---|---|---|---|
| Resistance mechanisms | Definition | How is it put into practice? | When does it usually happen? | Who executes it? | Examples of use |
| Choosing to ignore the system. | Resistance of the new agency to join the new civil service regime. | Often, as a result of negotiating the scope of the reform in the design phase or when creating new agencies | Before the approval of the reform or when a new agency is created after the initiation of reform | Reformers, ministers and heads of agency | Great Britain, the USA, Spain, Brazil, Argentina, Mexico, and Chile |
| Destabilizing the organization. | To legislate outside the existence of an agency or commission responsible for the management of the civil service system. | Through the design of a new legislation. | As a result of a regime change. | Usually, parties and legislators, in coalitions with presidents or through executive reorganizations. | The USA, Brazil, Mexico, Chile, and probably Argentina. |
| “Starving the beast “ | To reduce the implementation budget, eliminating opportunities of assessment or public tenders. | Controlling the funds an agency needs to carry out its activities. | As a result of a change of government. In response to an executive/minister with influence on finances. | Congressmen, parties, Ministers of Economy, presidents. | Great Britain, the USA, Brazil, Argentina, and Mexico. |

Source: Grindle (2012, pp. 236-238)

*The table continues on the next page

| Resistance Mechanisms to Civil Service Systems | | | | | |
|--|---|---|---|---|--|
| Resistance mechanisms | Definition | How is it put into practice? | When does it usually happen? | Who executes it? | Examples of use |
| Delaying the process. | Failure in appointing managers/ministers at the appropriate time; failure in developing operating rules to put the legislation into action. | Lack of action, usually by the president. It may also imply lack of legislative approval. | In the initial months/years of the new civil service system. When the terms expire or as a consequence of a regime change. | Usually presidents, but also the Parliament. | The USA, France, Brazil, Mexico, Argentina, and Chile. |
| Questioning the credibility of the system. | Drawing attention to flaws in the implementation process, or the recruitment process, or questioning the quality of the results. | Comments and complaints to legislators, political leaders. Media attacks. | In the early months of the reform, particularly focused on the problems at the beginning of the reform or as a result of a government change. | It can be initiated by a wide variety of actors: leaders, politicians, presidents, senior public officers, academics, ministers, etc. | The USA, Great Britain, France, Spain, Argentina, Mexico, and Chile. |
| Claiming authority over recruitment processes. | Decentralization of personnel decisions at the ministry or agency level to impair the rules throughout the system. | Through new legislation or restructuring operating procedures. | Frequently in response to pressure from ministers, especially the Minister of Economy. | Minister of Economy, ministers. and agencies in general. | Germany, Japan, France, Great Britain, the USA, Brazil, and Mexico. |
| Recapturing positions. | Legislating the reduction of coverage of the civil service system. | Through new legislation or a formal executive action. | In response to the dissatisfaction of the existing civil service system. | Political parties, congressmen who may be in coalition with ministers. | The USA, Brazil, Mexico, and Chile. |
| Preparing the post for the candidate. | With gaps in the law or procedures to develop work descriptions or exams adjusted to the candidate. | Creation of the job description in an arbitrary manner. | Usually, to adapt to the convenience of those seeking greater autonomy in recruitment. | Recruitment officers, ministers, agencies, political executives. | The USA., Great Britain, France, Japan, Spain, Brazil, Argentina, Mexico, and Chile. |

Source: Grindle (2012, pp. 236-238)

As can be seen, it is not a matter of blindly emulating a management model from other latitudes, or transferring private managers into the public sector; therefore, since political, strategic, and operational dimensions are integrated, public managers must be fully involved in the various contexts in which they work.

4. Scope of Management of the Public Management Function

The public management group consists of the universe of public management positions at all three levels of government. As noted, what they have in common is management under principles of public value creation, accountability for results and economic rationality. The three main elements of the management function are presented here, including the above-mentioned principles. These management areas have been taken from the management function model proposed by the Kennedy School of Government at Harvard University, mentioned above.

4.1. Political Environment Management

Political environment management involves proactively introducing managers to the political environment with the purpose of building support and legitimacy to achieve an outcome for the benefit of citizens (Moore, 1998). This approach is fundamental in managing a large number of public managers, since the collaboration of actors who are

outside the scope of the direct authority is required to achieve operational objectives (Moore, 1998).

Moore (1998) “defines political management as the construction of a climate of tolerance, active support or operational assistance for a manager, a policy or a global strategy among those agents outside the scope of the manager’s direct authority, whose consent or cooperation is needed to achieve public objectives for which managers will be held accountable” (SERVIR, 2015, p.27).

“To this end, public managers must comply with exercising their routine responsibility, achieve organizational coordination, identify the types of actors in their environment seeking their support through formal decision-making processes, choose suitable ways for decision-making, formulate the issues to be discussed, analyze political scenarios, seize windows of opportunity, manage uncertainty, among others (Moore, 1998, p.174)” (SERVIR, 2015, p.27). Following are the main elements that make up this scope of management:

1) Policy entrepreneurship: It refers to the mobilization of support by governmental authorities to policy proposals promoted by public managers. Through the management of favorable environments, the manager’s objective is that other actors adopt the proposed proposals. Managers are policy promoters or “entrepreneurs”.

2) Policy development management: It is the management of processes that grant legitimacy, power and coherence to the decision finally taken by public officers. It is not necessarily related to the policy that managers could have initially promoted. The objective is to manage quality decision making that strengthens the policy adopted, in which the role of managers is to act as true policy managers.

3) Public negotiation: It is the generation of value through the achievement of agreements with key actors for the development of policies. Managers aim to achieve consensus and their main role is to participate actively in the generation of these agreements, always based on the policies promoted.

4) Public deliberation: It is the creation of environments which encourage the participation of the civil society in the discussion of public decisions. The managers' objective is to promote, manage and conduct discussion spaces that allow knowing the views of different actors as well as gather their contributions.

5) Public marketing and strategic communication: It is the clear and comprehensible presentation of policies and strategies in order to obtain support and cooperation from

the public opinion to obtain management results. Managers aim to achieve legitimacy and citizen support, promoting public opinion participation.

6) Ethics in public service: It is the service provided to the plurality of citizen interests with equity and effective management of resources. The goal of managers is to build trust among citizens and stakeholders as well as to manage resources impartially in search of results. Managers are responsible for implementing a management focused on citizens³⁰.

4.2. Strategic Management

Strategic management of public managers involves the adaptation of the objectives, strategies and policies defined by public institutions towards the generation of valuable results for citizens, customers, and beneficiaries. This task involves the use of strategic planning analytical techniques and the ability of managers to manage in an environment of greater or lesser degree of predictability and consistency.

In this conception, organizational strategy is a concept that simultaneously:

a) states the overall mission or purpose of the organization (built on the basis of important public values); b) explains the sources of support and legitimacy to be used to meet the commitment of the society in such a task; and c) explains how the task will be organized and managed to achieve the objectives (Moore, 1998, pp. 115-116).

When contributing in the formulation of strategies and their implementation, public managers must take into account public preferences they want to meet, a political analysis of the environment and the development of operational capabilities to achieve results and solve problems. Following are the main elements that make up this scope of management.

1) Strategic analysis: It is the identification of public preferences and public problems, performing an analysis of the internal and external environment of the entity in order to determine politically, substantively and operationally viable management strategies.

³⁰ Ethical behavior must be the basis for performance of all public managers. Managers must not only be competent, but also rooted in values.

The managers' objective is to participate in the formulation of strategic objectives and the definition of what is valuable for citizens.

2) Policy design and strategic planning: It consists in the design and development of policies based on a strategic analysis through management tools for decision making within an entity. The managers' objective is to determine lines of action for the achievement of strategic goals defined jointly with senior management. In that regard, they are responsible for participating in the design of policies and delimitation of courses of action.

3) Management by processes: It is the formalization and optimization of processes in an entity for the transformation of inputs into products through a value chain. The managers' objective is to define, design, and manage the processes under their responsibility for the provision of better products/outputs.

4) Management by results: It is a management approach that seeks to increase the effectiveness and impact of policies through greater responsibility of servants to improve the conditions of interest of citizens. The goal of the manager is to undertake responsibilities in order to generate valuable results for citizens.

5) Follow-up, monitoring, and assessment³¹: It is the continuous process of data collection and analysis that aims to follow-up and monitor input, process, and product indicators, as well as the assessment of results and impacts of activities, programs and projects developed by an entity. Managers aims to obtain means of verification that allow the evaluation and feedback of policies, being responsible for their supervision.

6) Innovation in public management: Innovation in the public sector consists of providing new ideas or applied concepts that respond to a specific need or problem that may involve changes in the behavior of agents, practices, processes and products, improving institutional

performance and generating observable results. Managers aims to create and collect new and better ways to solve problems in order to improve public management.

7) Management of human resources: It consists in leading work teams seeking the increase and professional development as well as the improvement of the civil servants' capacity under their responsibility. The managers' objective is to plan and organize the development and efficient performance of the personnel under their leadership.

4.3. Operational Management

Operational management refers to "a deliberate and specialized deployment of legal, financial, material, and human capacities to achieve concrete results" (Moore, 1998, p. 277).

To this end, public managers should "1) seek to increase the quantity or quality of the results for each resource used; 2) reduce costs in terms of money and authority; 3) enable organizations to identify and respond to the aspirations of citizens; and 4) promote impartiality in public organizations when performing their duties, increase responsiveness and innovation" (Moore, 1998, pp.298-299). Following are the main elements that make up this scope of management:

1) Operational planning: It is the planning and design of the necessary activities for the preparation of products and provision of services in coordination with the defined strategic objectives. Managers' aims to coordinate the operational goals with the defined strategic objectives.

2) Technical capacity: It consists of the application of technical knowledge in relation to the managers' specific functions and aims to provide technical accuracy regarding the tasks within its management. This operational management element is considered as part of the transition between managers who have had a greater tendency

³¹ Adapted from the issue submitted in the National Policy on Modernization of Public Management.

towards specialization in a specific topic and managers who favor the development of general management competencies.

3) Redesign and/or operational simplification: It consists in the implementation of improvements in the organization's processes and procedures, which is a consequence of process management. The managers' objective is to promote and lead the implementation of quality processes and procedures.

4) Economic rationality: It is the selection between different alternatives taking into account needs and resources, estimates of public value, and cost. The managers' objective regarding this point is to efficiently and effectively manage the human, material and financial resources under their responsibility.

5) Legality of the policies: It refers to the knowledge and management of the legal framework related to the management of managers. Managers are responsible for the legality of the policies and measures executed under their leadership, ensuring their legal viability.

6) Transparency and accountability: It is the obligation to provide information, support, and responsibility for the results achieved and management of resources in the organization. Managers aim to collaborate with the preparation of accountability reports and promote transparent management.

7) Control: It consists of the supervision, monitoring, and verification of processes and activities. Managers are responsible for supervising the use of resources and the fulfillment of activities under their responsibility.

"Considering these management areas, in general, there are managers who specialize in strategic management, others specialize in the analysis of the political environment and there are those who engage in a more operational work."

The articulation of the three perspectives meets the necessary considerations about creating value and is located in the center of strategic thinking in the public sector" (Moore, 1998, p.119)" (SERVIR, 2015, p.28).

Likewise, the interplay of these three management areas is located at the heart of the management function. This interplay is what differentiates managers from professionals and politicians. "As mentioned above, these two actors have been historically found in all Public Administrations. The management function opens a gap between professionals and politicians, managing through strategic management and the political and operational environment" (SERVIR, 2015, p.28).

The development of the management function, integrating these three areas, takes place in contexts of a culturally diverse country. Therefore, it is important that the public manager's performance have an intercultural approach, recognizing cultural diversity and the existence of different cultural perspectives, expressed in different forms of organization, relationship systems and worldviews, which implies the recognition and valuation of others³².

5. Competency-based Approach

Traditionally, merit was understood to be limited to what can be accredited with documents, such as academic background, specializations and experience. However, in the field of human resources management, it has been demonstrated several years ago that this perspective is insufficient (Longo, 2004). Given that merit is inextricably linked to suitability³³, the identification of the latter requires, at least with respect to management positions, the determination of key competencies for good performance.

³² The reference to the intercultural approach includes the definition provided by Ministerial Resolution No. 150-2013-MIDIS, Guidelines for the Incorporation of the Intercultural Approach in Social Programs of the Ministry of Development and Social Inclusion.

³³ Article 164 of the General Regulations of the Civil Service Act states: "The selection process is aimed at selecting the right people for the position on the basis of merit, transparency, and equal opportunities (...)".

The suitability profiles of the post candidates go beyond the requirements of degree or technical specialization and formal merits and they identify other competencies based on skills, attitudes, cognitive abilities, motives and personality traits (Longo, 2004, p. 125).

Suitability is also associated with productivity. Suitable people produce higher results than unsuitable people. There are correlations between organizations that introduce competency-based management systems by and a significant increase in their productivity, as well as in the improvement of quality of life at work, job satisfaction, teamwork and conflict resolution (Alles, 2007).

The competency approach falls into this framework, which proposes transversal changes in people management processes, with a strategic nature, aimed at achieving institutional objectives.

This is why the different definitions of competencies are focused on performance. Here are some examples:

TABLE No. 4
Definition of Competencies

| Definition of Competencies | |
|------------------------------------|--|
| Boyatzis 1982, in Arancibia (2002) | Underlying characteristic of an individual that is causally related to effective or superior performance in a job. |
| HayGroup (2000) | Underlying characteristic of a person that allows him/her to demonstrate superior performance in a certain position, role or situation. |
| Hernández (2005) | Set of knowledge and professional qualities necessary for the employee to develop a set of functions and/or tasks that make up his/her occupation. |
| Mertens (1996, in ILO 1997) | Real capacity to achieve an objective or result in a certain context. |

Source: SERVIR

For its part, as the governing body, SERVIR defines competencies as “personal traits that result in visible behaviors for successful work performance; they involve knowledge, skills, and attitudes in an integrated manner as they are the differentiating factor within a certain organization and context”. This definition is found in the Peruvian regulations, specifically in the Guidelines describing the Rules for the preparation of the Job Descriptions Manual (JDM).

The competency approach emerges from the idea that people who are part of organizations are a source of differentiation

and, therefore, of competitive advantages for them in environments of constant change. The importance of this approach lies in the following:

- 1) It highlights the relationship between the creation of value and the ability of people to produce it. This is because it focuses on high levels of performance.
- 2) It puts in the foreground the ability of people to face dynamic contexts of change through acquired knowledge, skills and attitudes.

3) It proposes to generate competitive competencies based on highly qualified personnel within each organization.

4) It organizes, around defined parameters, the integration of work requirements of organizations with the market educational and training offer (Ducci, 1996).

This approach has been used in different reforms, specifically in executive management, given the particularity of management work.

Longo stresses the importance of the competency-based approach to institutionalize public management:

The institutionalization of public management requires managers with accurate competencies. Competencies, understood as underlying characteristics of a person, causally related to successful performance in a job (Boyatzis, 1982), are used as a reference or standard for the selection of personnel, career planning and succession, performance assessment and personal development. (Hooghiemstra, 1992). This is the backbone of the management systems of people, as understood and practiced in a growing number of companies and organizations of all kinds (Longo, 2002b, pp. 5-6. In: SERVIR, 2015, p.28).

Similarly, authors like Villoria, Jimenez, Echebarría, and Moore emphasize the importance of identifying and developing management competencies for the work of professional public managers (SERVIR, 2015, p.28).

Given the complexity of the management function and the challenge of positioning a management segment committed to citizens as part of a broader reform, it is essential to carry out an analysis of competencies needed. For this purpose, SERVIR states that the Public Managers Cadre has implemented a competency-based approach in its management model that can be taken as a benchmark in this area (SERVIR, 2015, p.28).

It is worth noting that within the implementation of the Public Managers Cadre, SERVIR conducted three studies to identify general competencies applicable to public managers. This option of identifying common competencies for the majority of public managers is used by several models of Professional Public Management. Some examples of landmark cases are the United Kingdom, Australia, New Zealand, Canada, Belgium and Chile in Latin America, through the Public Senior Management System.

“The latest update of general competencies has established the following seven general competencies applicable to all public managers including their definitions:

- **Results-orientated:** The attitude aimed at fulfilling in an effective and efficient manner the goals and targets under the criteria of legality and opportunity.
- **Effective communication:** The ability to listen to different points of view and ideas and transmit such verbal or written ideas, priorities and plans in a clear, transparent, accurate and timely manner and verifying that they have been received.
- **Service attitude:** The ability to identify, understand and meet the needs of internal and/or external users in a timely manner.
- **Teamwork:** The ability to unite one team and secure their commitment to the objectives and collaborate in a coordinated manner for compliance.

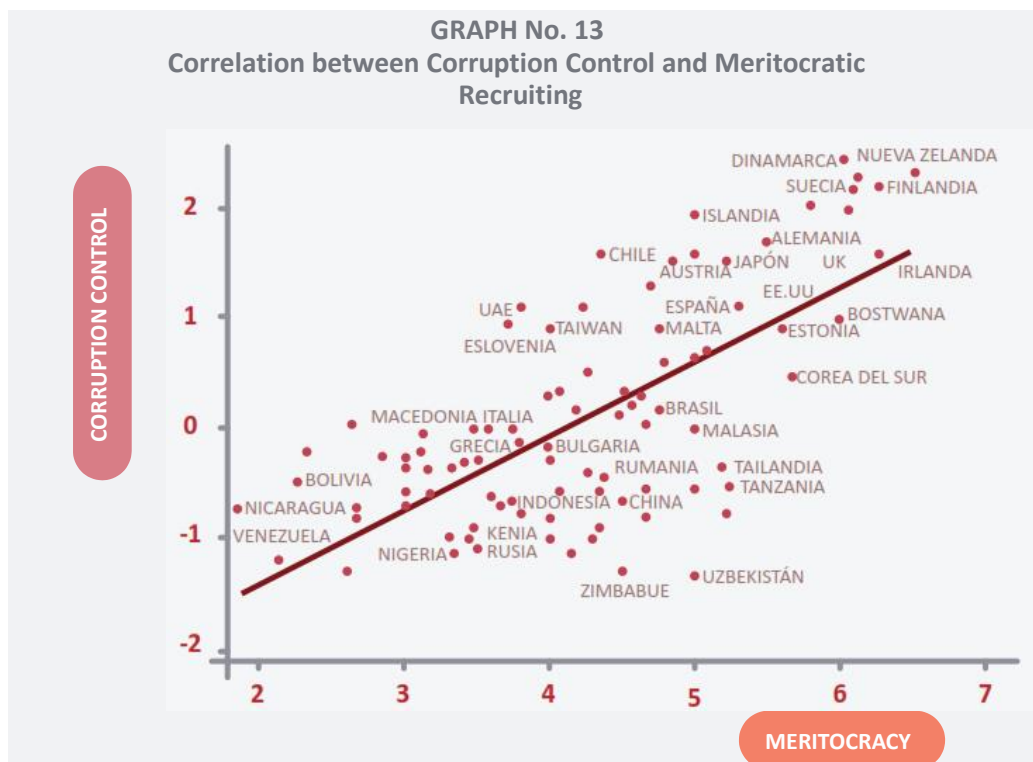
- **Innovation and continuous improvement:** The ability to identify improvement opportunities to change, enhance and/or develop processes or products aimed at the service of internal and/or external users.
- **Leadership:** The ability to influence others through values to guide their actions in order to achieve goals.
- **Sense of urgency:** The ability to recognize the priority of activities and projects acting consistently to achieve their timely implementation under legality criteria.” (SERVIR, 2015, p.29)

“In the same vein, and considering the nature of the professional management function, incorporating competency-based management is an essential part of the development of the management segment in our country. It is also important to consider that ‘the expansion of managerial competencies can be seen as a dynamic factor of structural and regulatory changes’ (Longo, 2002c, p. 15), thus generating an enabling scenario for the implementation of Civil Service Reform” (SERVIR, 2015, p.29).

6. Meritocracy and Corruption Control

As has been pointed out, the main problem of public management in Peru is the persistence of a “politicized” model, in which political appointment surpasses the standards recommended and put into practice by countries with more developed civil service systems. The proposed management model implies the development of a professional public management in which the vast majority of public managers are appointed the positions based on meritocratic competitions.

However, meritocratic recruitment does not only imply an improvement in the performance of public entities and in the provision of goods and services. A recent study, by Dahlström and Lapuente, from the Department of Political Science of the University of Gothenburg, has shown that, as long as there are high recruitment standards based on merit of public servants, the levels of corruption are very low, and vice versa. When there are no recruitment standards based on merit, levels of corruption are very high.



KEY: NICARAGUA, VENEZUELA, BOLIVIA, NIGERIA, KENYA, RUSSIA, INDONESIA, GREECE, MACEDONIA, ITALY, BULGARIA, ROMANIA, CHINA, ZIMBABWE, UZBEKISTAN, THAILAND, TANZANIA, MALAYSIA, BRAZIL, SLOVENIA, TAIWAN, UAE, CHILE, SPAIN, AUSTRIA, MALTA, JAPAN, ICELAND, GERMANY, UK, USA, SWEDEN, DENMARK, NEW ZEALAND, FINLAND, IRELAND, BOTSWANA, NORTH KOREA, ESTONIA.

Source: Dahlström y Lapuente (2014, p. 35)

As can be seen in the graph, there is a correlation between the variables “corruption control” and “meritocracy”. The variable “corruption control” presents levels of corruption and uses a scale that goes from -2.5 (highly corrupt) to +2.5 (fairly exempt). The data comes from the World Bank’s Corruption Control Index. On the other hand, the “meritocracy” variable reports on the extent by which public servants are recruited based on their abilities and merit on a scale that goes from 1 (not at all) to 7 (to a large extent). The data includes 105 countries and comes from the QoG Survey (Dahlström and Lapuente, 2014, p. 35). The study shows a direct (positive) bivariate correlation, strong and statistically significant ($R = 0,70$, $p < 0,00$) (Dahlström and Lapuente, 2014, p.14).

Specifically, Dahlström and Lapuente (2014) emphasize the role of managers and the incentives they may have to strictly comply with the position and avoid committing corruption acts or receiving political privileges. Precisely, the main reason for the absence of incentives is the persistence of a politicized system, in which there is no separation between the professional trajectories of public officers and public managers. According to the aforementioned research, there is no reason in such a system for managers to rely on any incentive system. In this regard, the more the trajectories of public managers depend on that of politicians and officers, the less likely they will keep loyalty to the position they hold (trust).

Behind this reasoning is the idea that a manager without political ambitions values the long-term reputation of being a manager committed to the position more than the short-term political privileges that derive from the distortion of its functions. In that regard, in institutional environments where the interests between politicians and managers are separated, managers have more incentives to carry out greater efforts related to the position (Dahlström & Lapuente, 2014).

In the Peruvian case, more than 70% of public managers have

been politically appointed and it is precisely the managers who, within the Public Administration, are generally major decision-makers regarding public resources. Both conditions (the excessive use of political appointment and the management of public resources) are intimately related to the decrease of control that the State can have on corruption.

7. Definition of Public Manager

In consideration of the foregoing, the following elements can be identified as being part of the definition of public manager:

- 1) Their role as facilitators between public officers and career professionals³⁴.
- 2) The development of the management function applying the criteria for public value generation, accountability for results and economic rationality³⁵.
- 3) The need for management competencies³⁶.
- 4) Management functions.
- 5) Management of the personnel under their responsibility.

Taking the foregoing and the provisions of the regulations into account, the definition of public managers is as follows:

Public managers are civil servants who manage, under the strategic guidance of Public Officers, the structures and processes based on which public policies are implemented and public goods and services are provided.

Managers lead under criteria for creation of public value, accountability for results, and economic rationality. In addition, all public managers have a set of management competencies that secure a better performance of their functions.

Such functions include planning, organization, management

³⁴ See the specific management function considerations of the *Ibero-American Charter for the Public Function* (CLAD, 2003, p. 23) and Longo (2002b, p. 1).

³⁵ For more information, see Moore (1998, p.16), Echebarría, (2005, p. 16); and Longo, (2002b, p. 2).

³⁶ For more information, see Villoria (2009, p. 101) and Longo (2002b, p. 06).

or decision-making regarding the resources under their responsibility, guarantee the achievement of assigned objectives, supervise the achievement of goals and manage the development of civil servants under their responsibility.

They manage bodies or organizational units as well as personnel. SERVIR determines, depending on the entities, the organizational level that need to have management positions³⁷.

8. Civil Service Reform Objectives in the Public Management Group

From the definition and the background summary provided above we can gather the following main objective and the specific objectives of the Civil Service Reform in the public management group.

Main objective:

The Civil Service Reform in the public management group is intended to institutionalize and professionalize the public management function in the Peruvian Government, based on principles of public value creation, accountability for results and economic rationality.

Specific objectives:

- 1) Establish a management model that allows professionalizing the public management.
- 2) Manage and strengthen the public management group.
- 3) Secure the meritocratic and transparent inclusion of public managers.
- 4) Consolidate a model that attracts, develops and retains competent public managers.
- 5) Procure public value creation in citizens based on political climate management and strategic and operational management by public managers.

6) Develop result-oriented performance management practices for public managers.

9. Elements of the Public Managers Group Model

Considering the conceptual framework described above, the public managers group model includes the following elements:

a) “Comprehensive approach of the management functions: Three types of management are identified for managers: management of the political environment, strategic management, and operational management. These management spheres have the ultimate goal of generating valuable results for citizens” (SERVIR, 2015, p.37).

b) “Regulation and management of the public management group: SERVIR, in its capacity of governing entity, determines policies, strategies, and guidelines for the public management group. SERVIR also enforces their execution, which is why it intervenes in different ways to guarantee the professionalization of public managers by providing tools and technical assistance, technical assessments, supervising selection processes, conducting selection processes by delegation, playing a supervisory and monitoring role, monitoring the progress of professionalization and the development of public management, developing professionalization activities for public management, etc.” (SERVIR, 2015, p.38).

c) “Restrictions to politically appointed positions: The Civil Service Act provides that a public entity may only hire 5% of appointed employees. This percentage also includes public managers. Moreover, there is another restriction to be taken into account: only 20% of management positions may be politically appointed³⁸; therefore, 80% of management positions must be open for a selection process.

³⁷ See article 3, subsection b) and 58 of the Civil Service Act and article 237 of the General Regulations of the Civil Service Act approved by Supreme Decree 040-2014-PCM.

³⁸ Article 64 of the Civil Service Act.

It is important to note that even appointed public managers are required to meet the criteria in the position profile³⁹.

The authority for determining which positions will be covered by appointed managers is exercised by the head of the entity. The head of the entity may, within the maximum permitted limits, change the structure of appointed managers by designating an appointed servant for an office occupied by a selected manager. In this case, the latter should be previously transferred to another position at a similar level within the entity to perform the duties according to his or her profile until the end of the applicable period⁴⁰ (SERVIR, 2015, p.39).

d) “Trend towards the training of general managers with balanced abilities: Following the new international management trends in public and private sectors, the Peruvian public management seeks the gradual development of general public managers, i.e. managers with wide and general knowledge of public management, emphasizing on their competencies for the performance of their managerial functions against their specialized technical knowledge. General management opposes specialized management, where specific knowledge about a particular subject is valued more for the performance of public service.

Jiménez (2009), states that the function of managing is a profession in itself, which requires that managers cease doing the functions related to their profession of choice and entirely focus on new professional activity such as that of public managers.

Having general managers will benefit the mobility of public managers among public entities, which in turn will facilitate articulation between organizations. This would be extremely positive for a Government such as ours, strained by a severe inter-institutional disarticulation. On the other hand, having mobility policies is a necessity, given that the relationship

term of a public manager with his or her entity is three years and, if renewed, it can be extended up to nine years, before being required to leave office⁴¹. Clearly, it is convenient for the State not to waste the capacity and experience of such managers, which is why policies that secure their incorporation to other positions should be developed⁴² (SERVIR, 2015, p.37).

It is worth mentioning that the mobility of managers involved here differs from mandatory mobility that could correspond to career models. Mobility is promoted in the case of a position or employment system. Notwithstanding the foregoing, it is necessary to specify that certain conditions are required for a general managers model to work properly. These conditions include the massive implementation of process management. It also requires that career servants collaborating with public managers have solid expertise in the field related to the body or organizational unit responsible for the public officer.

In this regard, given that the entities are in a transition stage, the development of general public managers will be gradual. “Additionally, it is important to consider that, given the diversity of management positions in the State, there will be a number of manager positions (e.g., General Legal Counsel director or some line management positions) that will maintain specialized standards in consideration of the nature and specificity of the required management functions” (SERVIR, 2015, p.37).

Notwithstanding this transition, and to make progress in the stated objective, i.e., the preparation of standard position profiles for public managers included in the Manual of Standard Positions, SERVIR has introduced compulsory standards for the specific profiles to be developed by public entities, including, but not limited to, restrictions to extreme requirements that are often set with the intention of

³⁹ Article 59 of the Civil Service Act.

⁴⁰ Article 241 of the General Regulations of the Civil Service Act.

⁴¹ Article 60 of the Civil Service Act.

⁴² Article 243 of the General Regulations of the Civil Service Act states that managers who show goal achievement in the last two performance evaluations can be hired by any entity without the need for a selection process, provided they meet the job profile.

benefitting particular candidates. “Notwithstanding the foregoing, the entities that provide proof before SERVIR of the need to establish non-standard profiles may do so, as provided in the regulatory and development standards issued by SERVIR⁴³” (SERVIR, 2015, p.39).

e) “Introduction of competency-based management: One of the most important features of the management segment, which is used in most modern executive management models is the application of competency-based management, particularly in the selection, development and assessment of public managers. It is worth noting that, regarding competency-based selection processes, SERVIR has more than five years of experience through its Public Managers’ Body” (SERVIR, 2015, p.38).

f) “Top public management development: As in many countries, such as the United Kingdom (Senior Civil Service), the USA (Senior Executive Service), Australia (SES), New Zealand, the Netherlands (ABD), Chile (Public Senior Management), etc., Peru intends to implement Top Public Management within the public management group, consisting of managers who perform higher-complexity and liability managerial functions and who will receive specific strategies to promote their development and leadership within the Peruvian Civil Service” (SERVIR, 2015, p.38).

g) “Preparation of public managers profiles: SERVIR will provide the standard position profiles that will constitute the mandatory framework for the preparation of specific profiles, promoting mobility, introduction of competencies, and technical aspect of the processes that are based on position profiles, such as selection, development, and [performance] assessment” (SERVIR, 2015, p.37).

h) “Open recruitment system: Just like most new professional management function models (including those in the USA, the United Kingdom, Australia, New Zealand, Canada, The Netherlands, Chile, etc.) Peru is committed to opening management positions. This means that, for all the management positions open for selection processes, and even during the transition into the new regime, the selection processes are open to all the candidates that meet the profile requirements, whether they have served in the private sector or in Public Administration entities” (SERVIR, 2015, p.38)⁴⁴.

Certainly, it is desirable that public managers know the operation of the State in order to be more efficient and effective; however, such desirable situation cannot become a barrier to access civil service with respect to candidates who do not have previous experience in providing services to the State, particularly in the case of line management positions. In the case of executive advisory and support positions, a reasonable experience requirement in the public sector is understandable, especially due to the degree of involvement of these positions with the rules of administrative systems.

i) “Employment system: Under an employment system, public managers are appointed for a position and when the engagement ends, their relationship with the entity also ends. Therefore, they are not career managers who have formal advancement spaces” (SERVIR, 2015, p.38).

j) “Selection conducted by entities: Unlike other models⁴⁵, the selection of public managers in Peru is under the authority of public entities. However, knowing that the context in which the Civil Service Act is going to be implemented has low governance, the governing body

⁴³ Article 239 of the General Regulations of the Civil Service Act.

⁴⁴ While prior management knowledge or experience in State matters is convenient, this cannot be a limitation to access management positions, except for some cases. In the standard position profiles for public managers, SERVIR determines the cases in which prior experience in State matters would be necessary in a mandatory or desirable manner.

⁴⁵ Like the Anglo-Saxon models, the selection for *senior civil service* is centralized in the *Civil Service Commission*. In Latin America the selection of senior public managers is also centralized in countries such as Chile and Colombia.

cannot become a “pure governor” that merely dictates policies and rules and supervises their application, but should take actions that contribute to the meritocracy and greater transparency of selection processes as a supplement to the institutional capacity of entities. In this regard, SERVIR may provide the I.T. platform for the application process of public managers⁴⁶ as well as psycho-technical and competencies evaluation⁴⁷.

Furthermore, SERVIR may implement oversight mechanisms in public manager competitions, in addition to the power of general inspection regarding all the civil servant inclusion processes into the new regime” (SERVIR, 2015, p.38)⁴⁸.

Notwithstanding the aforementioned, the Civil Service Act has authorized SERVIR to conduct selection processes for managers that public entities may request⁴⁹.

k) “Promoting manager’s mobility: SERVIR, as the governing body of the Administrative System for Human Resource Management, establishes management policies and strategies for the public managers group. Among them, as it happens in management groups of countries such as the United Kingdom, Australia, Canada (only in the first two levels), Denmark, Finland, France, Norway, Sweden, the Netherlands, and Chile, the mobility policies for public managers in Peru are the responsibility of the governing body. As stated previously, it relates to the promotion of mobility within a system of positions or employment. In addition, we intend to develop a type of “career timeline”

for public managers, encouraging the “advancement” of managers to higher management levels. We will revisit this subject when we discuss mobility as part of employment management within the public managers group” (SERVIR, 2015, p.37).

l) “Termination for reasons other than breakup of the trust-based relationship: With the exception of appointed public managers, the dismissal of selected public managers should not be based on political discretion, but rather, related to the expiration of their contract term, the commission of gross misconduct proved by due process, or deficient performance objectively demonstrated, in addition to any other conventional causes (resignation, mutual agreement, retirement). ‘The existence of discretionary terminations not based on responsibility for management (i.e. only taking into account a “breakup of the trust-based relationship”) shatters the conceptual structure of the Professional Public Management (DPP) system. The DPP—and this is a critical aspect of the model—bases its rationality on a logic of results. For this reason, if a manager obtains good results in his or her organization, the implementation of a discretionary termination system would not apply, unless the plain and simple intention is to subvert the model’ (Jiménez Asencio, 2014: 14)” (SERVIR, 2015, p.39).

m) “Assessment by goals and indicators: Accountability for results in the executive management model is very important; therefore, establishing a performance management system is critical to assess the achievement of goals (what) and the development of competencies (how)” (SERVIR, 2015, p.39).

⁴⁶ Fifteenth final supplementary provision of the General Regulations of the Civil Service Act.

⁴⁷ Article 238 of the General Regulations of the Civil Service Act.

⁴⁸ Such participation by SERVIR corresponds to the current governance stage of the Peruvian Civil Service and the institutional capacities of the human resources offices, which had traditionally been authorized to carry out personnel management operational tasks. To the extent that a professional civil service is being institutionalized and the human resources offices develop human resources strategic management capacities, the role of SERVIR will be adapted.

⁴⁹ Article 60, subsection 60.5 of the Civil Service Act.

The Professional Public Management (DPP) system will, therefore, require the definition of an accountability framework of public managers to the organization (or to the appointer), to be formalized in a Management Agreement (a 'management contract or a 'contract-program') that is derived from the criteria of 'contractualization' between a Principal and an Agent, in which a set of goals and objectives are agreed upon, a series of personal, material, technological, and financial resources are assigned and management indicators to control compliance are established. Therefore, the functions of a public manager should be subject to a performance and result assessment system (Jiménez, 2009, pp. 30-31).

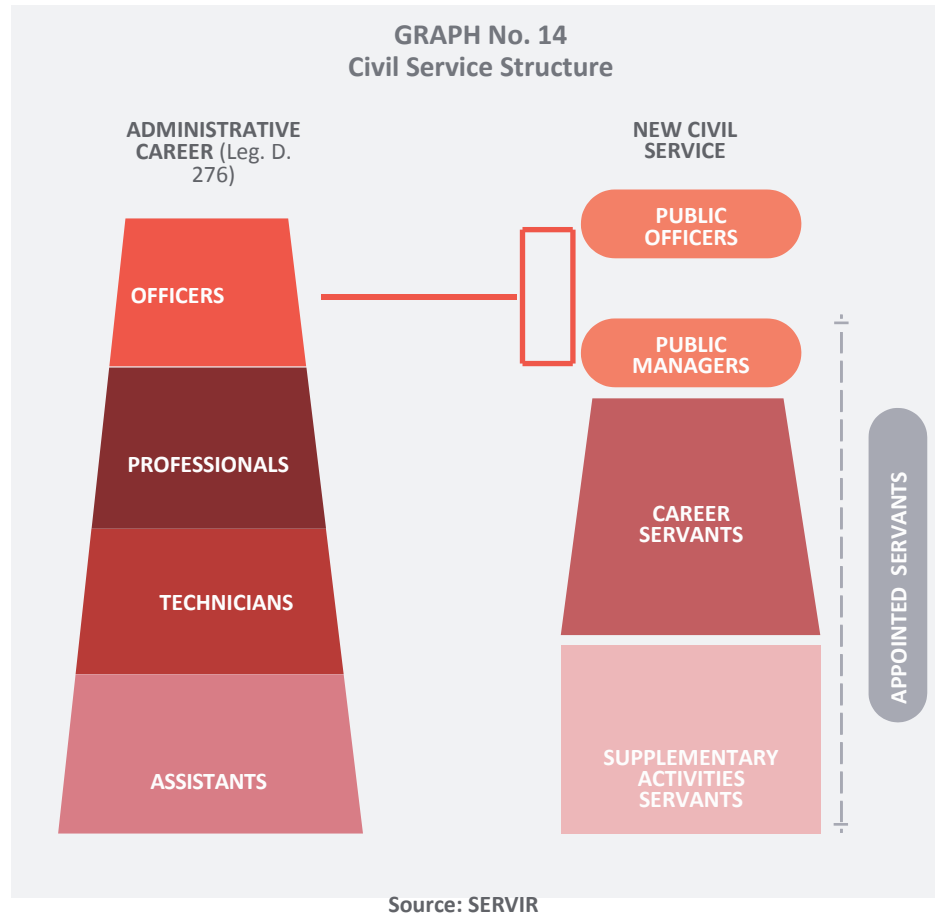
“Performance assessment goes together with accountability and control. ‘The most appropriate control systems for the exercise of management are those that deal with results’ (CLAD, 2003b, p.54)” (SERVIR, 2015, p.39).

These elements are cornerstones within the management model of the public managers group; therefore, they will be mentioned throughout the document.

III. GENERAL PLANNING AND ORGANIZATION OF PUBLIC MANAGERS

1. Introduction

In the structure of the civil service regime, managers are organized within the public managers group. In contrast with the administrative career of Legislative Decree No. 276, the civil service regime creates a specific group of servants among officers and career professionals. This group is conceptually based on the principles and definitions proposed in this model.



The following is a description on how a position is considered to be part of the public managers group based on the dimensioning of the management positions within the public entities as well as the organization of the positions within the group of institutional management positions.

2. Dimensioning of the Public Managers Group

2.1. Differences between Public Officers, Public Managers, and Career Servants

Despite the similarity between the higher (public officers) and lower (career servants) segments, there are differences between managers and other groups of civil servants, which is in its own a space mainly dedicated to management, as described in the conceptual framework. This differentiation can also be seen in the organization of the civil service regime.

Below are the differences between the group of public managers and other groups of civil servants.

Differences with public officers

The differences between public officers and public managers is defined by the provisions of the Civil Service Act, which establishes a limited list of the posts intended to be assigned to servants in the group of public officers. They can be as follows:

- a) Popular, direct, and universal election
- b) Regulated appointment or dismissal
- c) Free appointment and dismissal

The following table includes the list of public officers according to this classification.

TABLE No. 5
Public Officers of the Civil Service Regime

| Popular, direct, and universal | Regulated appointment or dismissal | Free appointment or dismissal |
|---|---|---|
| <ol style="list-style-type: none"> 1. President of the Republic 2. Vice-presidents of the Republic 3. Congressmen of the Republic and the Andean Parliament 4. Governors, vice-governors and regional councilors 5. Mayors and aldermen of local governments | <ol style="list-style-type: none"> 1. Magistrates of the Constitutional Court 2. Ombudsman and Deputy ombudsman 3. Comptroller General of the Republic and Vice-controller 4. President and members of the National Electoral Board 5. Members of the National Council of Judiciary 6. General Director and members of the Board of Directors of the Academy of the Judiciary 7. Heads, deputies and members of the Board of Directors of the Academy of the Judiciary 8. Heads, deputies, and members of collegiate bodies of entities that have an express provision on the appointment of their officers 9. Judges who are members of the Judicial Council 10. Attorney of the Nation of the Public Ministry 11. President of the Supreme Court 12. Rectors and vice-rectors of public universities 13. Heads, deputies, president, and members of the board of directors of the technical-specialized agencies, regulators and administrative courts 14. Governors 15. Those appointed by specific express as a law, as long as they comply with the provisions of the articles 53 and 54 of the Civil Service Act | <ol style="list-style-type: none"> 1. State Ministers 2. Vice-ministers 3. General secretaries of ministries and those that by specific law have the same hierarchy 4. Heads, deputies, presidents, and members of the collegiate bodies of free appointment and dismissal 5. General manager of the regional government 6. Municipal Manager |

Source: Law No. 30057, Civil Service Act

The general secretaries of public bodies and constitutionally autonomous bodies have not been included in this limited list; therefore, it is inferred that they are in the group of public managers. It is the same case for all those positions within the first organizational level which, in turn, are responsible for the management of a body in the entity and that are not mentioned in this table.

Differences with career civil servants

As mentioned in the section related to the organic structure of public entities, not all management positions are considered in the group of public managers. It was identified that a number of these management positions which are

heads of organizational units of the third organizational level and decentralized bodies -mainly in public bodies and constitutionally autonomous bodies- have as main functions the conduction and execution of processes and policies, but not necessarily the management of the implementation and evaluation of public policies, which are generally reserved to the heads of bodies. These positions are different from the group of public managers.

Some management positions are in the group of public managers, while others are in the highest level of the career civil servants group (level of the Executive Branch). The basis for this layer lies in the following arguments:

TABLE No. 6

Justification of the Layer regarding the difference between Public Managers and Career Civil Servants

| Justification of the layer regarding the difference between public managers and career civil servants |
|--|
| 1. In most of the management positions in organizational units, technical and specialized skills prevail over management skills. |
| 2. Some of these positions have no significant supply in the State; therefore, a system of employment and mobility every three years could jeopardize the continuity of policies and institutional memory ⁵⁰ . |
| 3. The existence, definition, and functions of the standard positions of career executives were considered compatible with all of these positions. |
| 4. It was considered that this allows to make the career more appealing, since there will be more levels of professional development. This happens mostly in small or medium-sized entities. |
| 5. The fact that a position is occupied by a civil servant of a group of civil servants does not legally represent the reduction of administrative responsibility nor the decrease of functions with respect to said position ⁵¹ . The General Administrative Procedure Act, in its article 65, states that "the exercise of competence is a direct obligation of the administrative body as was ascribed to it (...)". Therefore, the competence of the head of a body or organizational unit is not diminished at all when it is part the group of career civil servants. |

Source: SERVIR

⁵⁰ Article 60 of Law No. 30057, Civil Service Act, states that public managers are appointed for a period of three years renewable up to two times. This rule is used in professional civil service systems for the management of its managers, since it promotes a margin of mobility in the management layer.

⁵¹ See Supreme Decree No. 043-2006-PCM, Guidelines for the preparation and approval of the regulations for organization and functions-ROF by the Public Administration entities.

In order to determine which management position in a body or organizational unit is within the group of public managers, SERVIR prepared the following tables⁵². For this purpose, the definitions of organizational level, nature of the body or

organizational unit, and classification of the entity, described in the chapter “Organizational structure of public entities” were used.

TABLE No. 7
Table for Determining the Public Managers Group Positions for the National Government

| Entity classification | Organizational level | 1 | 2 | | 3 | |
|--|-------------------------------------|---------------------------------|-------------------|--|-------------------|--|
| | Type of body or organizational unit | Senior management ⁵³ | Consultative line | Support, advisory, institutional control, and judicial defense | Consultative line | Support, advisory, institutional control, and judicial defense |
| Ministries | | PO | PM | PM | PM | PM |
| Regulatory agencies | | PM | PM | PM | CA | CA |
| Specialized technical agencies | | PM | PM | PM | CA | CA |
| Public executing agencies | | PM | PM | PM | CA | CA |
| Administrative system body | | PM | PM | PM | CA | CA |
| Constitutionally autonomous agency | | PM | PM | PM | CA | CA |
| Judicial Branch ⁵⁴ | | PM | PM | PM | CA | CA |
| Social security intangible funds administrative bodies ⁵⁵ | | PM | PM | PM | PM | PM |

Key: PO: Public Officer PM: Public Manager CA: Career Civil Servant

Source: SERVIR

⁵² These tables take into account only type A entities, which are defined in article IV of the General Regulations of Law No. 30057.

⁵³ All heads of senior management bodies that are not considered in article 52 of the Civil Service Act have been included. In the case of ministries, all heads of senior management bodies (minister, vice-ministers and secretaries general) are considered public officers.

⁵⁴ It is included within the Judicial Branch, the Magistrates Academy and the Superior Courts of Justice.

⁵⁵ The social security intangible funds administrative body is ESSALUD headquarters.

TABLE No. 8
Table for Determining the Public Managers Group Positions for the
Regional Governments and the Metropolitan Municipality of Lima

| Entity classification | Organizational level | 1 | 2 | | 3 | |
|---|-------------------------------------|-------------------|-------------------|--|-------------------|--|
| | Type of body or organizational unit | Senior management | Consultative line | Support, advisory, institutional control, and judicial defense | Consultative line | Support, advisory, institutional control, and judicial defense |
| Regional governments - headquarters | | PO | PM | PM | PM | PM |
| Metropolitan Municipality of Lima | | PO | PM | PM | PM | PM |
| Public agencies of regional governments and Metropolitan Municipality of Lima | | PM | PM | PM | CA | CA |

Key: PO: Public Officer PM: Public Manager CA: Career Civil Servant

Source: SERVIR

As can be seen from the table, most of the management positions which are heads of organizational units are in the group of civil servant careers. Using the corresponding tables, public entities will be able to identify the posts that are part of the group of public managers and the total number. This exercise is part of the transition process from public entities, specifically in phase 3 of public entities dimensioning, called “determination and analysis of the allocation of human resources in the entity”. The dimensioning phases are described in the guidelines “Standards for dimensioning in public entities”.

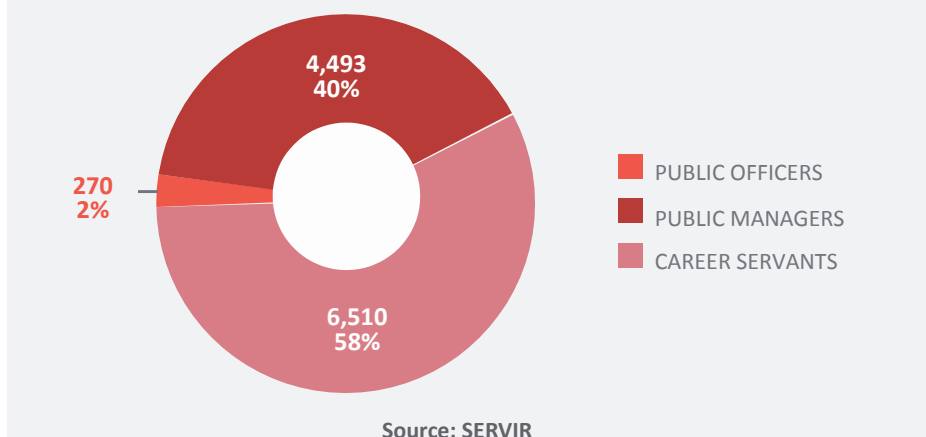
As a result of the conceptual framework presented and the criteria that SERVIR has used to classify and differentiate a public officer from a career executive, the number of public managers of the National Government would yield an initial estimated number of 2,616 management positions and, in regional governments, 1,877 positions. The number of managers could vary as the entities perform the dimensioning of management positions. Estimates of management positions that are part of the group of public managers and career civil servants are described below. Likewise, an estimate of the positions that are part of the group of public officers is being considered.

TABLE No. 9
Estimate of Public Officer, Public Managers, and Career Servants who are Heads of Organizational Units per Level of Government

| Civil servants | National government | Regional governments | Subtotal |
|---|---------------------|----------------------|----------|
| Public Officers ⁵⁶ | 195 | 75 | 270 |
| Public Managers | 2 616 | 1 877 | 4 493 |
| Career servants who are heads of organizational units | 4 215 | 2 295 | 6 510 |

Source: SERVIR

GRAPH No. 15
Distribution of Officers, Managers, and Career Servants who are Heads of Organizational Units



Source: SERVIR

With this classification, the number of public managers is substantially lower than the number of management positions mentioned in the section “Description of the Peruvian public management”.

2.2. Top Public Management (TPM)

Within the management policies of manager groups (senior civil servants-OECD), there are senior manager groups that are

generally in direct contact with political authorities (public officers).

The characteristics of these groups vary from country to country and respond to the management strategy of their Public Administrations. Below is a list of some countries that have Top Public Management and the year in which they were established.

⁵⁶ Congressmen, representatives of the Andean Parliament, executive directors of public bodies, regional councilors and public university officers are not considered.

TABLE No. 10
Top Public Management in other Countries

| COUNTRY | YEAR | TOP MANAGEMENT NAME |
|--------------------------|------|---|
| Brazil | 1967 | Direção e Assessoramento Superior (DAS) –Top Counseling and Management |
| United States of America | 1978 | Senior Executive Service (SES) |
| Australia | 1984 | Senior Executive Service (SES) |
| New Zealand | 1988 | Public Service Chief Executive |
| The Netherlands | 1995 | <i>Algemene Bestuursdienst</i> (ABD)–Dutch Senior Public Service |
| Belgium | 1995 | <i>Service Public Fédéral</i> –Top Public Management |
| The United Kingdom | 1996 | Senior Civil Service (SCS) |
| Chile | 2003 | <i>Alta Dirección Pública</i> (ADP) –Public Senior Management |

Source: SERVIR

The framework of the Civil Service Reform provides the inclusion of Top Public Management, which is understood as the set of management positions to perform functions of greater complexity and responsibility, and therefore, of greater relevance. This segmentation is carried out in order to focus human resources management policies, applying specific strategies to promote their development and

leadership within the Peruvian Civil Service.

The determination of a management position as part of Top Public Management is carried out when the Job Descriptions Manual (JDM) is prepared and the management position profile is specifically described. The following positions are part of Top Public Management:

TABLE No. 11
Positions in Top Public Management (TPM)

| Positions in Top Public Management (TPM) |
|---|
| <p>1. First organizational level management positions of public bodies of the National Government, constitutionally autonomous agencies, the Judicial Branch (headquarters) and of intangible funds administrative bodies (headquarters).</p> <p>2. Second organizational level management positions of the ministries, constitutionally autonomous agencies, and public bodies of the National Government included in annex 09 of the guideline “Groups of positions, roles and manual of standard positions”. SERVIR will review and update this list every three years. Public bodies of the National Government created from the year 2014 and not included in said annex may be included later by SERVIR.</p> <p>3. In the case of regional governments, the following management positions of the second organizational level, even if they have another name:</p> <ul style="list-style-type: none"> • Economic development regional manager • Social development regional manager • Infrastructure regional manager • Natural resources & environment management regional manager |

Source: SERVIR

As a result of this classification, 834 management positions of the National Government would be part of the TPM, while in regional governments the number amounts to 177 positions. The TPM positions would represent approximately 22% of the

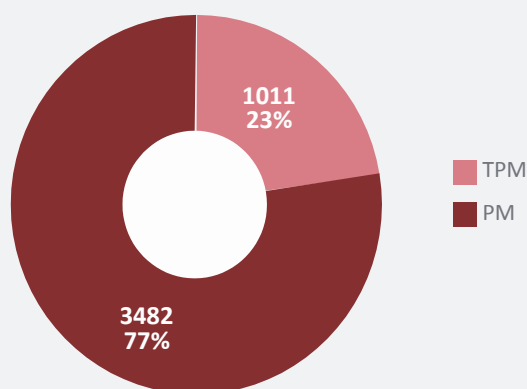
group of public managers in their entirety. Within the TPM posts, 82% are part of the National Government, while 18% are part of the regional governments.

TABLE No. 12
Estimate of Top Public Management Positions

| Level of government | TPM | PM not TPM | Subtotal |
|---------------------|-----|------------|----------|
| National | 834 | 1 782 | 2 616 |
| Regional | 177 | 1 700 | 1 877 |
| Total | 946 | 3 414 | 4 493 |

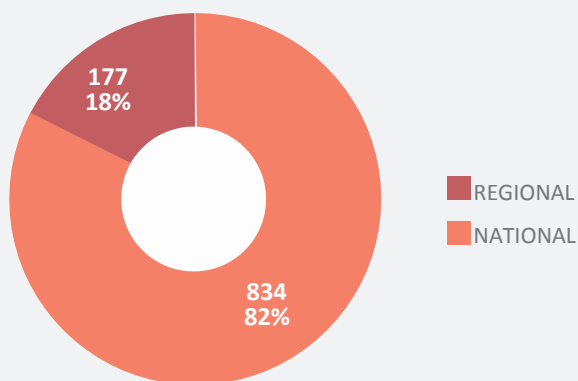
Source: SERVIR

GRAPH No. 16
Estimate of TPM Positions Compared to the Public Management Group



Source: SERVIR

GRAPH No. 17
Estimate of TPM Positions Per Level of Government



Source: SERVIR

2.3. Appointed Servants in Management Positions

The Civil Service Act has provided that only 20% of the public managers appointed in each entity can be occupied by appointed servants. In addition, the law establishes that the number of appointed servants will in no case be greater than 5% of the total number of positions planned in a public entity. This is a double restriction, as there cannot be more than 20% of appointed management positions and such percentage cannot exceed 5% of all positions in the entity. Additionally, it is worth mentioning that 20% is the maximum percentage and the entities have the option to establish a smaller percentage of appointed positions.

On the other hand, appointed servants are not exempt from complying with the profile of the corresponding position in relation to academic background, knowledge, and experience requirements. The purpose of this rule is to hire competent servers that meet the minimum requirements of the position and, thus, avoid an arbitrary appointment that does not aim to achieve the goals of the entity⁵⁷.

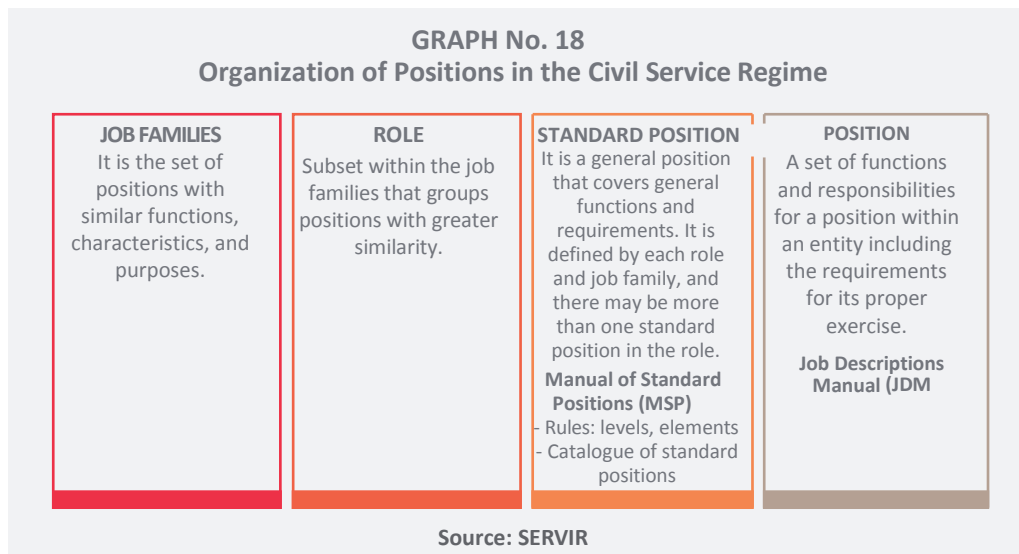
3. Job family & Institutional Leadership

3.1. Job Families

The job family is the set of positions with similar functions, characteristics, and purposes. It is also the largest unit that groups positions within the civil service regime: public managers are organized into a job family; career civil servants and complementary activities servants are organized into six and four job families, respectively.

Job families are made up of one or more roles, grouping, in turn, positions of greater similarity. At a higher level of disaggregation, the roles group standard positions, which are general posts that include general functions and requirements. The families, roles, and standard positions are prepared by SERVIR and are described in the guidelines “Job families, roles, and manual of standard positions (MPT) applicable to the civil service regime”.

This classification aims to organize the universe of posts within the civil service regime based on the objectives, functions, competencies, and needs of public entities in the State. Ultimately, standard positions should be used by the entities as an input for the preparation of their specific posts within the framework of the transition to the new civil service regime, specifically, at the time of preparing the Job Descriptions Manual (JDM).

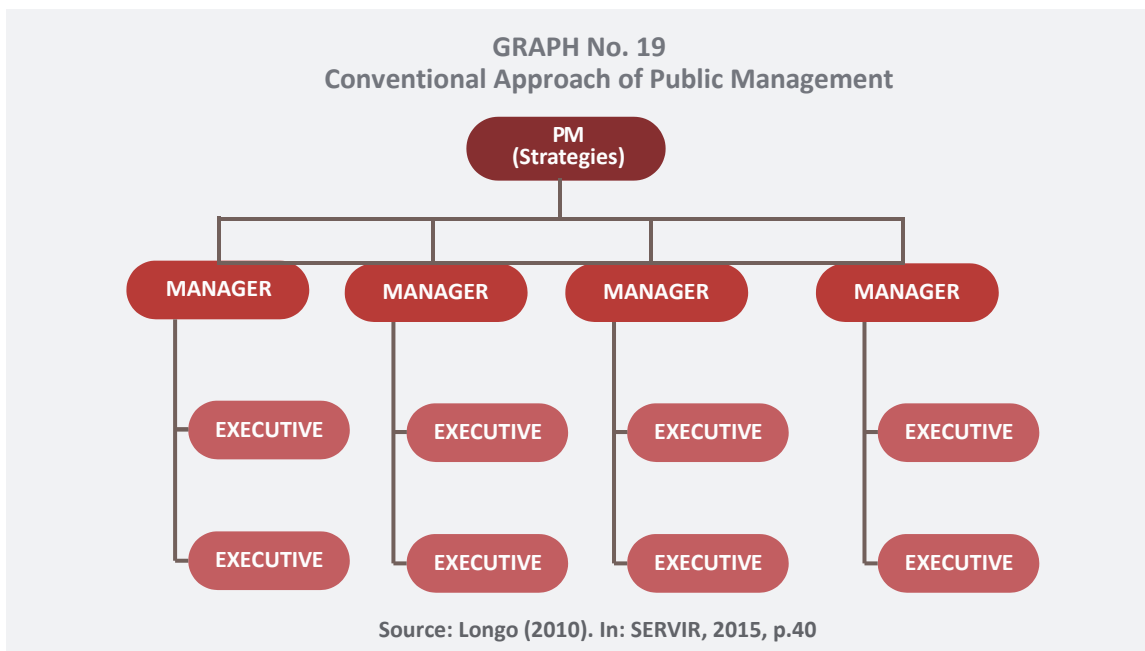


⁵⁷ In the case of breach of the trust managers restrictions, see article 263 of the General Regulations of the Civil Service Act.

The group of public managers only has one job family: institutional management. This is due to the fact that the management function is preferred over specializations or any other feature of the positions of the public managers group. This approach is related to what was stated previously, according to which priority is given to the competencies for the performance of management functions as opposed to technical-specialized knowledge. The institutional management family is composed of three roles, which are explained below.

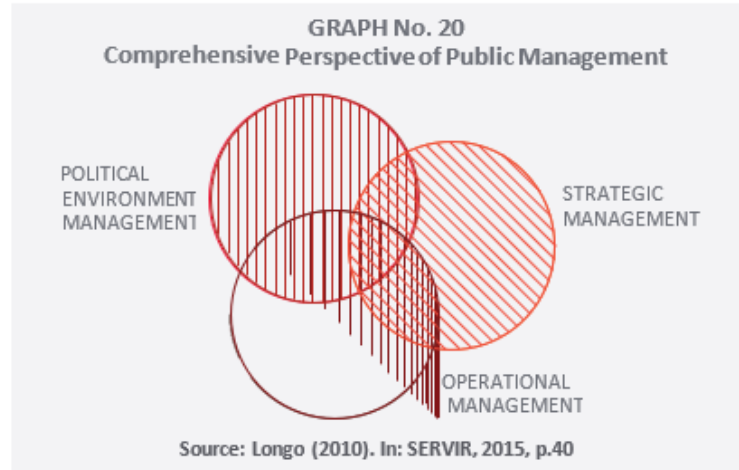
3.2. Roles

The vast majority of public organizations has a divisional structure, in which each of the bodies and organizational units enjoys a certain autonomy with respect to their functions. The divisional structure has contributed, in most of the cases, with the dismantling of the strategies proposed by senior management. The conventional perspective of public management has meant “top-down” management approach, i.e., senior management defined the strategies and managers and their teams of professionals implemented them, as shown in the following graph (SERVIR, 2015, pp.39-40):



This public management functional approach does not enrich management functions as it has been defined; therefore, the horizontal articulation of strategies and processes as well as the management of a political environment are lost on the way. The public manager role acting as a link between public officers and career civil servants implies a comprehensive

perspective of executive management, taking these factors into consideration (SERVIR, 2015, p.40). “By promoting the creation of public value, it develops a management scheme that joins strategic, political and operational management to achieve results” (SERVIR, 2015, p.40).



Source: Longo (2010). In: SERVIR, 2015, p.40

“This graph summarizes the proposed perspective, according to which the management function develops a useful concept for the creation of public value by integrating a strategic assessment of what is valuable, diagnosis and articulation of the political environment, and an analysis of the operating feasibility of the intended goals” (SERVIR, 2015, p.41). Indeed, “not all managers will devote the same efforts to each of these management spheres. Thus, due to the nature of their functions, some management positions will require public managers with a higher capacity for strategic, operating, or political environment management” (SERVIR, 2015, p.41).

With that in mind and based on an exercise, three roles were identified within the institutional management family:

1) Political-Strategic Management: It includes positions whose role are to conduct negotiation and inter-institutional coordination processes, as well as manage the formulation and development of public or institutional policies, as the case may be, with the purpose of obtaining results for the benefit of the citizens. In the case of the institutional policies management, the managers of this role lead the internal administration of the entities (SERVIR, 2015, p.42).



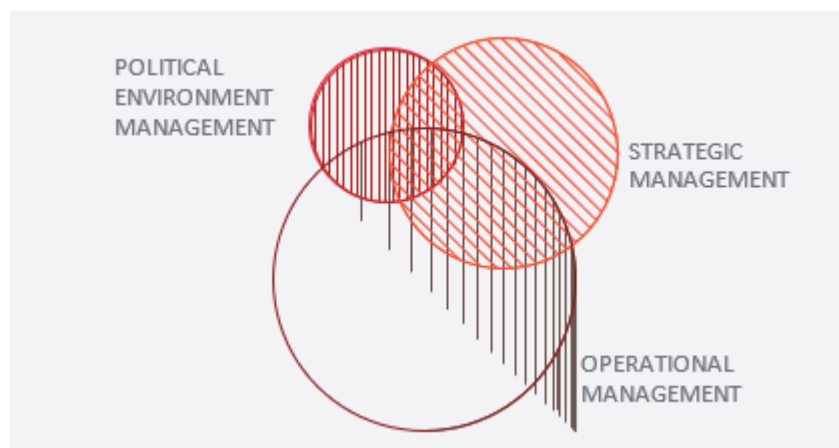
2) Strategic management: It includes positions whose role is to manage the design and evaluation of public or institutional policies, as the case may be, based on a strategic analysis.

They also lead the development of strategic and institutional objectives in plans and strategies for their implementation and execution.



3) Operational-strategic management: It includes positions in which the technical capacity for the achievement of the stated results prevails, through the management of the conscious and specialized deployment of technical, legal, financial, material, and human capacities to obtain concrete results.

Managers in this role lead the execution and implementation of the plans and strategies of the entity's public and institutional policies (SERVIR, 2015, p.43).



To describe the similarities and differences between public managers and other groups of civil servants, the differences within the group of public managers were taken into account. Many political-strategic managers are generally very close to public officers, while operational-strategic managers will be quite close to career executives. Taking into account the definitions and attributions of the aforementioned servers, the similarities and differences between public officers and political-strategic managers are presented below together with the similarities and differences between operational-strategic managers and career executives. It must be borne in mind that the differences between the group of public managers and the other groups of civil servants have gray scales and that is why they also have

similarities, as is also the case in civil service systems in other countries.

Public officers and political-strategic managers

To analyze the similarities and differences between public officers and political-strategic managers, who are generally close to each other, the following definitions are used:

Public officer: It is the political representative or representative public office, which exercises government functions in the organization of the State. It manages or intervenes in the management of the entity and also approves policies and regulations.

It is classified into popular, direct, and universal election public officers; regulated appointment or dismissal; and free appointment and dismissal.

Public officers are described in article 52 of the Civil Service Act and mentioned in this document in table.

Political-strategic management: It includes positions whose role are to conduct negotiation and inter-institutional coordination processes, as well as manage the formulation

and development of public or institutional policies, as the case may be, with the purpose of obtaining results for the benefit of the citizens. In the case of the institutional policies management, the managers of this role lead the internal administration of the entities.

Political-strategic managers are described in the guidelines "Job families, roles, and manual of standard positions (MPT) in its annex 10 and in table 15 of this document.

TABLE No. 13
Similarities and Differences between Public Officers and Political-Strategic Managers

| | PUBLIC OFFICERS | POLITICAL-STRATEGIC MANAGERS |
|--------------|---|--|
| DIFFERENCES | <ul style="list-style-type: none"> • Main function: Define objectives and policies for the benefit of society. • Lead according to government plans agreements, principles and shared ideals. • Constant exposure in the public sphere. • Political responsibility. • Direct influence in government decision-making. • Relationships with all the public officers, including the cabinet. • They mainly consider political factors for decision-making. | <ul style="list-style-type: none"> • Main function: Preparation and articulation of feasible strategic objectives for the benefit of citizens. • Lead according to the achievement of strategic objectives and accomplishment of results. • Limited exposure in the public sphere. • Accountability for results. • Indirect influence in decision making (through officers) • Contact with a number of public officers within their scope of activity. • Validates the political and strategic relevance of technical factors in decision-making. |
| SIMILARITIES | <ul style="list-style-type: none"> • Leadership in highly important management or head offices. • Strategic supervision of goal achievement. • Strategic fulfillment of results. • Political sensitivity and uncertainty management. • Knowledge of the political scenario and their stakeholders. • Capacity to reduce conflict, generate agreement and secure active relationships with stakeholders. | |

Source: SERVIR, 2015, p.46

Operating-Strategic Managers and Career Executives

Below, we will discuss the similarities and differences between operating-strategic managers and career civil servant managers, which are generally close to each other.

For this purpose, we will use the available definitions.

Operational-Strategic Management: It includes positions that require technical capacities for the achievement of results planned, through the management of the conscious and

specialized deployment of technical legal, financial, material, and human capacities to obtain concrete results. The managers that perform this role manage the execution and implementation of the plans and strategies of the public and institutional policies of the entity.

The operational-strategic managers are described in the guidelines “Job families, roles, and manual of standard positions (MPT) in its annex 10 and in table 15 of this document.

Career executives: Their purpose is to lead a work team to meet the operational goals under their responsibility. The positions associated to this level carry out the following functions within the scope of the role established for them:

- Propose the guidelines of the processes to be carried out within the scope of their competence, incorporating improvement actions.
- Lead the work team under their responsibility for the execution of their functions.
- Also participate in the execution of the activities of greater responsibility of the role.
- Prepare and propose technical reports on their competence.

Career executives, as well as the other levels of the career, are described in the guidelines “Job families, roles, and manual of standard positions (MPT)”.

TABLE No. 14
Similarities and Differences between Operating-Strategic Managers and Career Executives

| | OPERATIONAL -STRATEGIC MANAGEMENT | CAREER EXECUTIVE |
|--------------|---|--|
| DIFFERENCES | <ul style="list-style-type: none"> • Main function: Management of the implementation and assessment of public policies. • Is expected to be a general manager. • Operational independence. • Accountability for results. • Mobility⁵⁸ • Lead, which includes managing and developing teams. • Supervision of result achievement based on goal achievement. • Identification, implementation, and assessment their products within a value chain. | <ul style="list-style-type: none"> • Main function: Leading and executing processes and policies. • A specialist in his or her function. • Compliance with agreements and instructions. • Result-oriented • Stability • Team leadership • Supervision of goal achievement. • Delivery of quality products. |
| SIMILARITIES | <ul style="list-style-type: none"> • Team leadership • Economic reasonableness (efficiency and effectiveness) • Achievement of strategic goals. • They report to a manager. | |

Source: SERVIR, 2015, p.47

⁵⁸ Echebarría (2005) prepared a study based on human resource management models in the public sector taking the reforms implemented in OECD countries as a point of reference, where the trend of mobility and free access policies in management segment positions occurs in most of the cases studied.

Assignment of roles in the institutional management family

At the time of developing phase 3 of the dimensioning process and once the positions within the group of public managers have been defined, public entities assign the corresponding

roles to each of these positions. For this, they rely on these role tables, which are based on the tables for the determination of positions of the public managers group (tables 15 and 16).

TABLE No. 15
Table for the Determination of Roles in the Institutional Management Family for the National Government

| Entity classification | Organizational level | 1 | 2 | | 3 | |
|--|-------------------------------------|---------------------------------|-------------------|--|-------------------|--|
| | Type of body or organizational unit | Senior management ⁵⁹ | Consultative line | Support, advisory, institutional control, and judicial defense | Consultative line | Support, advisory, institutional control, and judicial defense |
| Ministries | | PM | PS | S | S | OS |
| Regulatory agencies | | PS | S | S | CA | CA |
| Specialized technical agencies | | PS | S | S | CA | CA |
| Public executing agencies | | PS | S | S | CA | CA |
| Administrative system body | | PS | PS | S | CA | CA |
| Constitutionally autonomous agency | | PS | PS | S | CA | CA |
| Judicial Branch ⁶⁰ | | PS | S | S | CA | CA |
| Social security intangible funds administrative bodies ⁶¹ | | PS | S | S | OS | OS |

Key: PM: Public Manager PS: Political-strategic manager S: Strategic Manager
OS: Operational-strategic Manager CA: Career Civil Servant

Source: SERVIR

⁵⁹ All heads of senior management bodies that are not considered in article 52 of the Civil Service Act have been included. In the case of ministries, all heads of senior management bodies (minister, vice-ministers and secretaries general) are considered public officers.

⁶⁰ It is included within the Judicial Branch, the Magistrates Academy and the Superior Courts of Justice.

⁶¹ The social security intangible funds administrative body is ESSALUD headquarters.

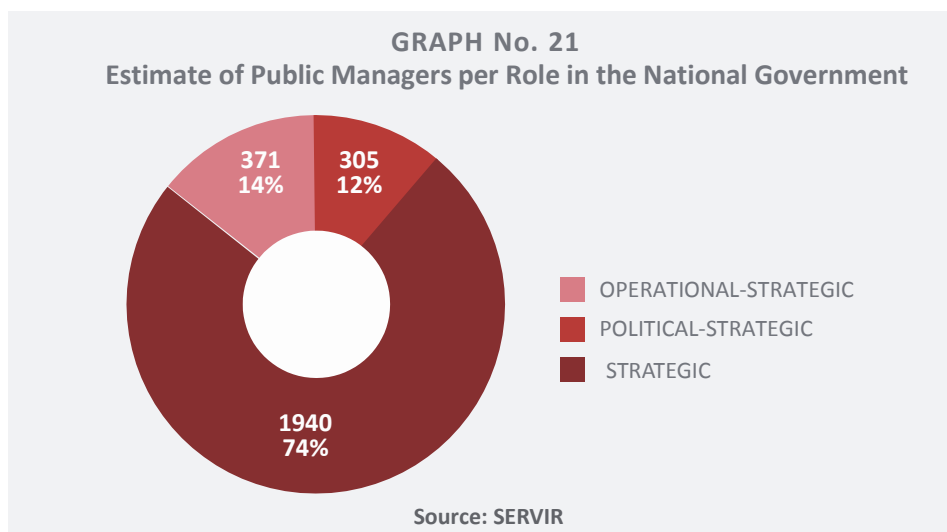
TABLE No. 16
Table for the Determination of Roles in the Institutional Management Family
for the Regional Governments and the Metropolitan Municipality of Lima

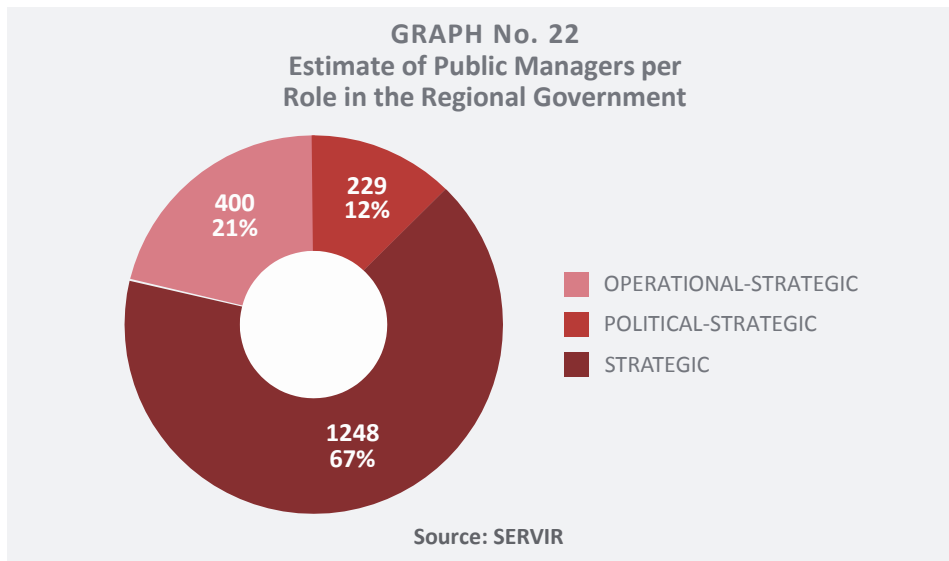
| Entity classification | Organizational level | 1 | 2 | | 3 | |
|---|-------------------------------------|-------------------|-------------------|--|-------------------|--|
| | Type of body or organizational unit | Senior Management | Consultative line | Support, advisory, institutional control, and judicial defense | Consultative line | Support, advisory, institutional control, and judicial defense |
| Regional governments - headquarters | | PO | PS | S | S | OS |
| Metropolitan Municipality of Lima | | PO | PS | S | OS | OS |
| Public agencies of regional governments and Metropolitan Municipality of Lima | | PS | S | S | CA | CA |

Key: PM: Public Manager PS: Political-strategic manager CA: Career Civil Servant
S: Strategic Manager OS: Operational-strategic Manager

Source: SERVIR

Given this assignment of roles, an estimate of the number of management positions that are part of each of these was prepared:





As mentioned at the beginning of this section, the positions are organized in families, roles and at a higher level of disaggregation, into standard positions. The standard positions, in turn, are a frame of reference that entities use

to prepare their job profiles, along with other management tools. This organization is described below.

IV. WORK ORGANIZATION AND ITS DISTRIBUTION IN PUBLIC MANAGEMENT

1. Standard Positions Profiles: Elements, Functions, Requirements, and Competencies

Within the scope of its leadership, SERVIR establishes the standard positions profiles of the institutional management family, which include general functions and requirements as well as competencies required to public managers. The standard positions profiles, particularly in the case of public managers, are a fundamental part for the application of this management model in terms of job design, because the functions, requirements, and competencies of such profiles are based on the conceptual framework of the management function.

The position profile is the last level of disaggregation and contains structured information regarding the location of a position within the organizational structure, mission, functions, as well as the requirements and specifications for managers to be able to properly carry out and serve in their position. The preparation of position profiles is part of the job design process, which is a process of the work organization and its distribution subsystem carried out by the Administrative System for Human Resources Management⁶². The management tool containing position profiles is the Job Descriptions Manual (MPP, for its Spanish acronym), which entities prepare in the process of transition to the new regime and which replaces the Manual of Organizations and Functions (MOF, for its Spanish acronym). For its preparation, SERVIR offers the entities the methodological guide for the preparation of the Job Descriptions Manual-MPP, which has the rank of guideline.

⁶² Guidelines “Rules for the management of the positions design process and preparation of the Job Descriptions Manual - MPP”, article 5.

These rules are common to all groups of civil servants. In the case of public managers there are certain peculiarities, as shown below. It should be noted that entities can request technical assistance from SERVIR for the preparation of their management positions profiles.

- Regulations on the organization and functions (ROF) of the entity.
- Guidelines “Families of Jobs and roles and Standard Positions Manual (MPT)”.
- Dimensioning matrix of the entity.
- Personnel report of the entity⁶³

Elements of the standard positions profiles

The preparation of job profiles requires the following elements:

The standard positions profiles of the institutional management family consider the following elements:

TABLE No. 17*
Elements of the Positions Profiles of the Institutional Management Family

| Elements of the positions profiles of the institutional management family | |
|---|---|
| Code | It is the standard position code in relation to all civil service regime standard positions catalogue. |
| Group of civil servants | It states the group in which the standard position is located. In this case, the group of public managers is always stated. |
| Job family | Job family in which the standard position is located. In the case of public managers, the family is institutional management. |
| Role | Role of the job family in which the standard position is located. In the case of public managers, it can be political-strategic management, strategic management and operational-strategic management. |
| Organizational level | It covers the three organizational levels: 1. Senior management bodies 2. Bodies other than those of senior management 3. Organizational units |
| Functions | The general functions of the standard position are the set of activities that are different from each other, providing information about the most frequent actions performed within the standard position aimed at fulfilling its mission. These functions give priority to the management function of the positions regarding their specific tasks. |
| Academic background | It is the training required for the standard position. It consists of the following elements: 1. Academic background: strictly speaking, it only refers to university studies. 2. Specialty: it is the subject matter of studies of the required academic background, when applicable. 3. Academic degree: can be bachelor, master or doctor degrees. 4. Academic status: it is required when appropriate and can have the following values: • Graduate: studies have been completed (in this case, the academic degree no longer applies). • Certified: a professional degree has been attained. • Certified: in case the membership in a professional association is required. • Qualified: this field will only be marked if the membership in a professional association is required and such qualification must be provided. |

Source: SERVIR

* The table continues on the next page

⁶³ Methodological Guide for the preparation of the Job Descriptions Manual-MPP “Section 3.1. The Dimensioning Matrix and Personnel Report of the entity are made based on the provisions in the Standards Guidelines for the dimensioning of public entities”.

| Elements of the positions profiles of the institutional management family | |
|---|--|
| Knowledge | For purposes of the MPT, technical knowledge, courses and/or specialization programs required are considered. The MPP can also include knowledge of office systems and languages and/or dialects, if necessary. |
| Experience | It considers the minimum experience required to perform the position that is composed of general and specific experience. |
| Competencies | They are personal characteristics that translate into visible behaviors for successful work performance. It involves knowledge, skills, and attitudes in an integrated manner, which are the differentiating factor within an organization and specific context. |

Source: SERVIR

As mentioned above, the group of public managers is organized into a job family and three roles within it.

The roles are made up of 45 standard positions.

TABLE No. 18
Number of Positions per Role Type

| GROUP | FAMILY | ROLES | STANDARD POSITIONS |
|-----------------|--------------------------|----------------------------------|--------------------|
| Public managers | Institutional management | Political-strategic management | 10 |
| | | Strategic management | 22 |
| | | Operational-strategic management | 13 |
| | | Total | 45 |

Source: SERVIR

Functions and requirements

The functions in these standard positions profiles are based on standard positions profiles of public managers, gathered through a methodology for profiling. Likewise, they integrate the functions of the management function in general and the role of the institutional management family in which the standard position is located. Through the various profiles, it can be seen that some of these functions are common to all public managers, while others vary according to each role and standard position. These functions have been validated in several workshops organized by SERVIR.

The requirements, as well as the functions, have been identified by each standard position based on the methodology for profiling used for the Public Managers Cadre and have been subject to adjustments resulting from several validation workshops organized by SERVIR. The requirements include minimum levels of academic background, knowledge, as well as experience, which entities must include when preparing their positions profiles. Without prejudice to the aforementioned, persons who access the positions defined by the entities must comply with the requirements and conditions established in the applicable regulations.

In the case of public managers, the requirements of academic background, knowledge, as well as experience set in the standard positions cannot be modified by the entities when preparing their profiles of specific posts. In other words, they may not propose higher or lower requirements when preparing the position profiles without the authorization of SERVIR. The purpose of this rule is to prevent defining very simple or unjustifiably excessive requirements in job profiles. Increasing the requirements without any technical support has been a common practice that has limited, in the past, competition, in the selection processes to favor certain applicants, or “influence” competition processes.

The requirements set out in standard positions are minimum requirements, i.e., regarding access to the competition process. In the evaluation stage of the selection process, particularly in the curricular evaluation stage, applicants who are above these minimum requirements will have a higher score in this evaluation, but also with certain limits in order to allow competition among candidates.

Competencies

In the Peruvian case, the selection of public managers will be carried out by each entity, in accordance with article 59 of the Civil Service Act. However, the general competencies applicable to all public managers and the required degree thereof (different depending on the role of the manager) is established by SERVIR. In response to the expertise required for the competencies evaluation in the selection of managers and the seven-year experience of SERVIR in its assessment center and competency interviews as part of the selection process for public managers, SERVIR will conduct competency assessments for the selection processes of public managers, unless the entity has personnel that has been accredited by SERVIR and has the conditions to perform such evaluations technically. SERVIR, as the lead agency, will closely monitor the process of implementing management by competencies in the group of public managers. The importance of this lies in the fact that management by competencies is a core aspect of the management of public managers and the starting point, from the selection, for the professionalization of the Peruvian public management.

Regarding public managers, SERVIR has carried out technical studies to define the general competencies, which are seven. Of these, three are common to the other groups of civil servants and four have been identified specifically for the group of public managers. The seven competencies are included in all the standard positions profiles for public managers. SERVIR establishes the degrees of competencies, including the Dictionary of competencies that has also been developed. In this regard, SERVIR establishes the minimum and ideal degrees for each of the competencies for each of the roles of managers, which will be evaluated in the selection processes under the standards and methodology that SERVIR determines.

The general competencies common to all civil servants, and, therefore, also to public managers, are the following:

- **Vocation of service:** Ability to act by listening and understanding internal or external users, assessing their needs as their own and providing solutions or alternatives that respond to their expectations through informed, timely and cordial customer service.
- **Results-oriented:** Ability to guide actions towards the achievement of institutional goals and objectives, ensuring quality standards and identifying opportunities for improvement. It implies responding within the required deadlines and making optimal use of the resources at their disposal, considering the final impact on the citizen.
- **Teamwork:** Ability to generate positive and trustworthy working relationships, sharing information, actively supporting and collaborating with others, acting in a coordinated manner and integrating their own efforts with those of the team and other areas or entities to achieve institutional objectives that benefit the citizens.

It should be noted that, although the three competencies mentioned above are common to all civil servants, including public managers, in the case of the latter, the required degree and certain behavioral indicators

associated with these competencies are appropriate for the group of public managers.

On the other hand, the general competencies identified specifically for the group of public managers are:

- **Leadership:** Is the ability to influence others based on values to guide their actions to achieve objectives.
- **Articulation with the political environment:** It is the ability to understand the sociopolitical context of the country and the impact of the institution, influencing the decisions made at the public policies level with awareness of their consequences on the specific needs of citizens.

- **Strategic vision:** It is the ability to foresee future scenarios as well as define a long-term perspective aligned with organizational objectives that enable to anticipate circumstances, overcome obstacles, calculate risks, and plan actions.

- **Management capacity:** Ability to manage administrative systems. It also involves the ability to manage the use of resources to ensure compliance with the objectives.

In order to organize the management positions names used in the civil service regime, the following nomenclatures must be stated at the beginning of the names:

TABLE No. 19
Nomenclature of Public Manager Positions

| | NOMENCLATURE OF THE PUBLIC MANAGER POSITIONS | | | | | |
|---|--|---------------------|--|-----------------------------|---------------------|--|
| | NATIONAL GOVERNMENT | | | REGIONAL GOVERNMENT | | |
| | Line | Consultative line | Support, advisory, institutional control, and judicial defense | Consultative | Consultative | Support, advisory, institutional control, and judicial defense |
| First organizational level: senior management | Not applicable | Not applicable | Secretary general (ministries), general manager (public bodies, senior management) | Not applicable | Not applicable | General manager (senior management) |
| Second organizational level: body | Director general | Technical secretary | General head of office | Manager/technical secretary | Technical secretary | General head of office |
| Third organizational level: organizational unit | Director | Technical secretary | Head of office | Director/Deputy manager | Technical secretary | Head of office |

Source: SERVIR

V. EMPLOYMENT MANAGEMENT OF PUBLIC MANAGERS

The subsystem of employment management contains the set of processes and policies that regulate the entry, tenure, and exit of civil servants from an entity. This subsystem is subdivided into two groups of processes: recruitment management and personnel administration.

In turn, recruitment management is made up of the selection, engagement, induction, and probationary period processes. On the other hand, personnel administration is made up of file administration, attendance control, relocation, disciplinary processes, and disengagement processes. In the latter group of processes, comments will be made regarding relocation, disciplinary, and disengagement processes to state the particularities in relation to the public managers group, since the file administration and attendance control processes are operative. A separate section refers to the promotion of mobility, which is important, particularly in the case of public managers.

1. Recruitment Management

The first group of processes, recruitment management, contains the rules, procedures and tools related to the access and adaptation of public managers in their positions. This group is made up of the selection, engagement, induction, and probationary period processes.

In the new civil service regime, a public management servant can only be recruited once the post profile has been approved in the Job Descriptions Manual (MPP) and has been duly

budgeted and included in the Entity's Table of Positions (CPE) duly approved.

1.1. Selection

The selection of public managers is a core process within the management of the group of managers. As mentioned above, an appropriate selection process allows for the most qualified professionals to perform the functions of the position, which is particularly crucial in the case of public managers. It is also one of the processes prioritized by SERVIR within the Administrative System for Human Resources Management (SARGH), because it is part of the critical path of processes that generate the greatest impact within the Public Administration. The purpose of this process is to choose the right person for the management position based on the principles of merit, equal opportunities, and transparency.

In order to gain access to a public manager position, it is imperative that the public entity in which such position is located has transitioned into the new civil service regime. Once the transition process has been completed, there are two modalities to obtain a management position: by public merit-based selection process and by direct contracting.

Entry through public merit-based selection process

It refers to the admission of public managers who, after satisfying all the stages of the selection process, are the selected candidates of the public merit-based selection process for the management position in question. Entry can be vertical or horizontal, as detailed below:

a) Vertical entry refers to career public servants who are the selected candidates of the merit-based selection process for a management position.

b) Horizontal entry refers to natural persons, participating or not in the new civil service regime, who are the selected candidates of the merit-based selection process for a management position.

Public merit-based selection processes of public managers will be implemented within every entity. There is the alternative of delegating such selection processes to SERVIR on behalf of the entities included in the civil service regime.

In these processes it is necessary to have general, impersonal, objective rules and that no form of discrimination is allowed. Likewise, in public merit-based selection processes, calls to fill positions must specify the number of vacant positions.

Public merit-based selection processes for the public managers group

In order to select management positions in public merit-based selection processes, at least the following four stages must be met: preliminary, call and recruitment, evaluation and election. The experience of SERVIR with the Public Managers Cadre in carrying out selection processes, validated over seven years, has served for the design of the rules for public managers competitions. Likewise, SERVIR can provide technical assistance to the entities to carry out the selection processes.

a) Preliminary stage

This stage includes all the actions that must be carried out to start the public merit-based selection process in the entity and mainly includes the realization of the following activities:

- Request for the recruitment of public managers
- Analysis of selection criteria and mechanisms
- Conformation of the selection committee, which, in the case of public managers, is made up of three members: the representative of the head of the entity, who chairs it; the immediate supervisor to whom the management position reports; and the head of the Human Resources Office.

- Preparation and approval of the competition rules⁶⁴
- Coordination with SERVIR to have the availability of the computerized platform for recruitment and psycho-technical and competency evaluations, according to the case.

b) Call and recruitment stage

This stage includes the set of actions that must be carried out to ensure adequate dissemination of the competition and attraction of potential candidates to fill vacant positions. The call notices for the public merit-based selection processes are published for a minimum period of ten working days and the activities are the following:

- Call in the institutional portal of the entity
- Call in the National Employment Service
- Any other means that promotes dissemination, transparency and greater convening, such as publications in mass media, job notice boards, professional associations, social networks, among others.
- Mandatory recruitment through the Recruitment IT Platform provided by SERVIR.

c) Evaluation stage

After the call and recruitment stage, applicants who have been short-listed are called candidates and must perform the evaluations aimed at confirming their suitability for the position.

There are studies, knowledge, psycho-technical, psychological, and competencies evaluations as well as a final interview. All the evaluations, except the psychological test, are mandatory and qualifying; therefore, only those who have been qualified as eligible in the previous evaluation will be able to access the next evaluation.

Without prejudice to its qualifying nature, the scores of the studies, knowledge, psycho-technical and competencies evaluation are taken into account to define the highest-scoring candidates who have access to the final interview.

As noted above, psycho-technical and competencies evaluations may be provided by SERVIR. In the case of the psycho-technical evaluation, the entities may apply other tests provided they ensure transparency and technical quality. For this purpose, they must have the authorization of SERVIR.

In the case of the competencies evaluation, they may be applied by the entities if they have been authorized by SERVIR; otherwise, SERVIR will provide the evaluation.

d) Election stage

Finally, at this stage the selection committee chooses the most suitable candidate according to the results of the final interview in the selection process.

It should be added that SERVIR is authorized to designate supervisors for all public manager competitions in order to provide them with compliance guarantees with meritocratic standards and greater transparency.

⁶⁴ According to Article 170 of the General Regulations of Law No. 30057, Civil Service Act, the terms must contain at least the information listed below:

- Job profile
- Conditions of the position: probationary period, schedule, compensation, job family, role and level in which the position is located.
- Detailed timeline of the public merit-based selection process.
- Description of the means and types of evaluation that will be used.
- Minimum content of the curriculum vitae requested to the applicant.
- Sworn statements requested.
- Supporting documentation requested to the applicant.
- Criteria of qualification in the public merit-based selection process.
- Challenge mechanisms.

It should be noted that the inclusion of supervision in public managers' competitions is based on the highly positive experience that SERVIR has had with the participation of the Asociación Civil Transparencia as a supervisor of all the public managers selection processes, since their contribution has provided greater transparency and legitimacy in such processes.

Public merit-based selection processes for the public managers group by delegation to SERVIR

Those merit-based selection processes that are delegated by the entities to SERVIR have the same stages of a public merit-based selection process developed by the entity itself. It should be noted that the selection stage in the selection processes delegated to SERVIR cannot be delegated, as it is the responsibility of the delegating entity.

Once the selection is over, the winning candidate goes through the engagement process in the entity.

Direct contracting

It is the mechanism whose objective is to recruit people for management positions without the need for a competition process, in the following cases:

a) Public entities must take into account that only 20% of public managers of each entity can be occupied by appointed servants, a limit that is within 5% of civil servants of an entity that can be appointed under this modality of entry, as has been mentioned before.

It should be noted that, every three years, SERVIR will publish the list of public managers hired in each entity as well as those positions that are occupied by appointed servants.

b) Appointed public managers who, at the time of the entity's transition, "become" public managers of the new civil service regime. This direct contracting is justified inasmuch as public managers have already gone through a meritocratic selection process.

c) Public managers who have achieved their goals in the

last two performance evaluations and can be appointed to another management position.

1.2. Engagement

Engagement is the process by which the beginning of the relationship between the manager and the public entity is formalized through an administrative resolution and contract, as appropriate.

The person selected by competition to occupy a management position has a maximum period of 31 calendar days to undertake the position for which he was elected. After this period, the entity is entitled to engage an alternate, if any, or declare the public competition void.

In the case of managers selected by a recruitment process, an agreement or contract must be concluded describing their rights and obligations.

Once the engagement between the public manager and the entity has been concluded, the duties of the manager are the following:

- a) Achieve the goals established for the period of their appointment, within the existing circumstances and resources, and be accountable for them.
- b) Carry out the actions and processes of their position with efficiency, effectiveness, and transparency.

1.3. Induction

Induction is the process that includes the orientation function of public managers hired in the entity. It includes a general induction on information related to the State, the entity and internal regulations, and the specific induction of the position; which provides the necessary information to facilitate and guarantee their integration and adaptation to the entity and the position.

The human resources offices, or any office acting in its behalf, must organize the induction activities for their new civil servants, regardless of the group to which they belong to or the contractual modality. This stage must not exceed the probationary period time.

The entity must make available the Civil Service Internal Regulations (RIS) to each civil servant at the time of their entry. This document establishes the conditions under which civil service should be developed in the entity, indicating the rights and obligations of civil servants and the public entity, as well as the sanctions in case of non-compliance.

Without detriment to induction activities carried out by the entity, SERVIR may develop content to make them available to public managers recruited for such positions.

1.4. Probationary Period

Having a probationary period is a complementary need to managerial competitions. The probationary period for public management positions is a process carried out in a period of not less than three nor longer than six months. Since competitions have a margin of error, or even with no errors, it is only through direct experience that it will be possible to verify the adaptation of a manager with certain institutional contexts or cultures. The purpose of the probationary period is to validate and assess the competencies and experience of public managers in their position in the entity and verify their adaptation to the position and the convenience of the latter for the selected manager.

As a result of the experience with the Public Managers Cadre, there is evidence that a meritocratic selection helps most of the professionals in succeeding the probationary periods⁶⁵; therefore, succeeding in the probationary period will be an important indicator of the quality of management competitions.

2. Personnel Administration

The second group of processes, personnel administration, contains the rules, procedures, and tools related to the administration and control of civil servants in Public Administration. This group includes six processes: file management, attendance control, relocation, disciplinary procedures, mobilization, and disengagement. Next, references are made to relocation,

disciplinary procedures, mobility, and disengagement processes for public managers.

2.1. Relocation

It is the process that comprises the management of public managers relocation to other positions or functions inside or outside the entity in a temporary manner. The decision is made by the public entity, after compliance with the specific requirements for each case; and it includes relocation by appointment, rotation, special assignment, assignment of functions and commission of services, according to established administrative rules and procedures for each type of relocation.

The new framework for the implementation of professionalized public management rules has foreseen to consider a particular situation for the relocation of public managers. The entity can designate an appointed servant in a position occupied by a public officer selected by public merit-based selection process or by direct contracting in the case of public managers who have “become” public officers or have been hired in response to their good performance. In this situation it is necessary to previously relocate the former to another vacant and budgeted position of similar level in the same entity, to perform functions according to their profile until the end of their current term and always without exceeding trusting limits.

Although this provision could be considered contradictory with the meritocratic nature of the civil service that is to be implemented, it is considered important to introduce this flexible measure since the implementation of this model supposes not only the application of a professionalized civil service regime, but a cultural change. Indeed, it should be recalled that generalized and customary practices have resorted to politically appointed management positions; however, the new regime has restricted politically appointed positions to only 20% of the total number of managers. Likewise, it should be noted that the location of the appointed servants, which includes the management positions, corresponds to the head of the entity, but this may change

65 Ninety-nine percent of public managers appointed succeeded in the probationary period.

and his successor may have a different perspective on the matter.

However, as can be seen, this flexible measure is limited. In order to be viable, a vacant and budgeted position of similar level and functions is required, to which a manager can be relocated and always meeting the limits for appointed servants.

2.2. Mobility

As indicated above, the managerial management model proposes the promotion of mobility among public managers, a measure that is verified in indicators aimed at measuring the flexibility of civil services (Longo, 2002, p. 28). It is particularly relevant to mention the promotion of mobility, because according to this model, managers are hired for periods of three years which can be renewed only two times (except in the case of directors of administrative systems). In this case, such directors should leave the position after nine years and it would be convenient for the State to be able to preserve their experience and expertise in other management positions.

Likewise, the mobility of public managers among various entities will contribute to their articulation, which is currently an issue, since disarticulation and fragmentation is one of the serious problems that the Peruvian Public Administration faces. For this reason, interinstitutional articulation plays an important role within the Policy of Public Management Modernization, as it is one of its three transversal themes.

The mobility of public managers will be possible when transition is gradually made towards more general profiles, which is one of the elements of the model, for its emphasis on managerial competencies.

Such mobility is considered within a system of positions or employment. For these purposes, public managers are

qualified to apply for any public merit-based selection process and to access the corresponding position as long as they meet the position profile and win the competition.

Notwithstanding such alternative related to competitions, the General Regulations of the Civil Service Act allows managers, who have fulfilled their goals in two performance evaluations, to be hired directly for another management position without having to apply, provided that they comply with the position profile.

Likewise, the aim is to develop a type of “career timeline” for public managers, encouraging the “advancement” of managers to higher management levels, as has been previously indicated.

For this purpose, the experience of the Public Managers Cadre is useful, since the mobility of public managers has been put into practice among various management positions of different organizational levels, between different levels of government and between different standard positions profiles. In this regard, SERVIR will promote the mobility of public managers among entities of different levels of government and between positions of compatible profiles, considering the different roles of management positions.

2.3. Disciplinary Procedures

Public managers are governed by the rules of disciplinary procedures for all civil servants. In this regard, the rules on competition, disciplinary offenses, penalties, the administrative disciplinary procedure itself, authorities, civil servant rights, among others are applicable.

Without prejudice to this, it is particularly relevant to take into account, in respect of public managers, the following⁶⁶ cases that exempt from disciplinary administrative

⁶⁶ Even though they have not been included in the Civil Service Act or its regulatory standards, it is interesting to recall the following precedent of Article 12 of Legislative Decree No. 1024 that creates and regulates the Public Managers Cadre, to the extent that it reflects the spirit of what was thought should occur with the control over managers: "They will not be liable for administrative responsibility for the non-observance of non-transcendental formalities or for the sole discrepancy with the content of any discretionary decision in the terms provided in the Regulations, as long as they have assessed the known facts and foreseeable risks."

responsibility⁶⁷:

- The exercise of a legal duty, function, position or commission entrusted.
- The error led by the Administration, through a confusing or illegal act or provision.
- Functional action in the event of catastrophes or disasters, natural or induced, that have determined the need to carry out immediate and essential actions to avoid or overcome the imminent impact on general interests such as life, health, public order, etc.
- Functional performance favoring higher interests of a social nature or related to health or public order when, in cases other than natural or induced catastrophes or disasters, the adoption of immediate actions to overcome or avoid their imminent impact would have been required.

2.4. Disengagement

It is the process by which the relationship between the public officer and the entity ends, according to the applicable regulations. It includes the formalization of the extinction of the relationship.

Article 49⁶⁸ of the Civil Service Act establishes the grounds

for termination of the civil service for all civil servant groups; therefore, also applicable to public managers. In accordance with said rule and in addition, the public director condition or nature concludes by:

a. Non-compliance of goals

The performance evaluation of public managers focuses on the verification and qualification of compliance with defined goals for public managers during the management period as well as the evaluation of competencies (commitments). It is carried out in annual periods and includes public managers who are subject to the condition of trust⁶⁹.

The types of evaluation related to the fulfillment of functions are the measurement of goals achievement and the measurement of competencies. If public managers fail to comply in an annual period with at least 70% of goals on average, for reasons attributable to the control scope of public managers, the entity may terminate their appointment. This assumption of appointment termination regarding the performance of managers is in addition to the termination of the relationship for two annual rated evaluations that are subject to observation, applicable to all civil servants.

The public managers positions that have become vacant and

⁶⁷ See article 104 of the General Regulations of the Civil Service Act.

⁶⁸ The following are causes for termination of the civil service:

- a) Death
- b) Resignation
- c) Retirement
- d) Mutual agreement
- e) Age limit has been reached
- f) Loss or renunciation of Peruvian citizenship
- g) Criminal conviction
- h) Disqualification for the exercise of public functions
- i) For cause related to civil server capacity
- j) Unsuccessful probationary period
- k) Elimination of the position due to technological, structural or organizational causes
- l) Extinction of the entity by regulatory express mandate
- m) By discretionary decision, in the case of appointed civil servants and public officers of free appointment and dismissal
- n) Termination for cause related to the supervening physical or mental incapacity of the civil servant
- o) Optionally for the server, when reaching the age of sixty-five (65)

⁶⁹ Article 62 of the Civil Service Act.

that must be occupied through competition, can be occupied through a commission, for a maximum and non-extendable period of one year.

Within this term, the entity must recruit the new public manager, under responsibility.

b. Expiration of the contract term

The Civil Service Act states that, for all public manager positions appointed by competition, except in the case of an appointed servant, the appointment will be for a period of three years, renewable up to two times. This term is non-extendable; therefore, at the end of said maximum term of nine years, managers must leave the position.

The maximum limit of renewals applies to all management positions, except for those that are part of the governing bodies of administrative systems, since the renewal limit does not apply to the latter.

c. Assumption of public officer position or appointed servant

When a person, occupying a management position, assumes functions in a public officers group or appointed servant group,

associated with any of the civil servant groups, it will be necessary to issue a resolution of relationship termination as a public manager by the entity.

The relationship termination based on these grounds shall not give rise to any compensatory measure or compensation in favor of the public manager.

The efficient, meritocratic, and transparent recruitment and administration processes of public managers are key to having qualified personnel, but the current dynamic organizational contexts in Public Administrations demand the constant development of their managers' capacities. Each of these elements has been validated through different tools and processes, such as the selection process of public managers, supervision protocols, induction process, probationary period, evaluation by performance indicators, among others. In spite of this, a suitable selection is not enough to obtain the best performance of civil servants, specifically, of the public managers. Next, the training and development aspects of public managers that make up this model are synthetically described.

VI. TRAINING AND DEVELOPMENT OF PUBLIC MANAGERS

1. Training

Training is the process that seeks to improve the performance of civil servants through the development or closing of competency or knowledge gaps. In order to maintain continuity and coherence with the needs of the entities, training activities must be aligned with the strategic objectives of the entity and the job profiles.

Position profiles are fundamental tools for the development of public managers. They include both the minimum requirements and also desirable aspects. In this regard, as it will happen with respect to all the civil servants selected, the managers who have been selected and who, therefore, meet the minimum requirements, will have gaps between the real and the ideal profile expected.

For example, public managers can be selected through competition if they have the minimum level of leadership and teamwork skills, but can have a gap in both competencies in order to reach their ideal level. At this point, it will be necessary to carry out development actions to close that gap.

On the other hand, the required knowledge contained in the position profile is not static and, therefore, requires the manager to be constantly updated. For example, if a manager is selected as head of the General Administration Office, and has proven during competition

his knowledge in the field of public procurement, but later the regulations change or complementary regulations are issued, such manager will have to acquire new knowledge.

Also, if the strategic objectives of the entity are expanded or pose greater challenges, such manager must undertake development actions to be able to assume the respective responsibilities.

In order to close gaps and improve the performance of civil servants, it is necessary to carry out the corresponding training. As stated in the Administrative System for Human Resources Management (SAGRH), training can be work training or professional training.

a. Work training: Its purpose is to train civil servants by means of courses, workshops, seminars, diploma courses or other updating programs that are not aimed at academic degrees or professional degrees and that will allow, in the short term, to improve the quality of their work and the services they provide to citizens.

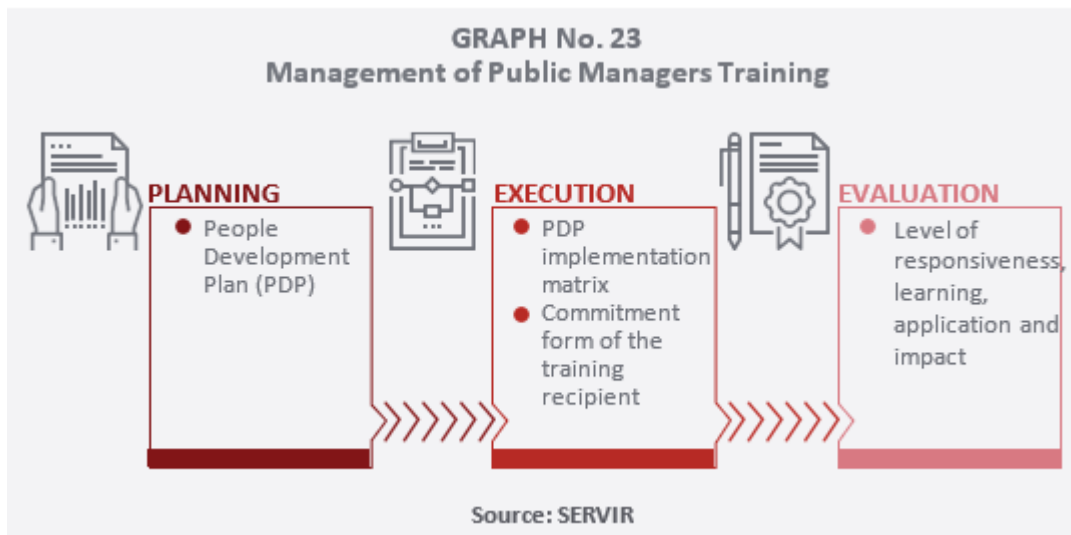
Work training closes gaps in knowledge or competencies and serves as continuous improvement of civil servants with respect to their specific functions and institutional needs. Work training is composed of interinstitutional training and internships, which are organized with the purpose of transmitting general knowledge to the entire public sector.

This category also includes training required by managers, as a result of their performance evaluation.

b. Professional training: It leads to mainly obtaining a master's degree in areas required by the entities. It is designed to prepare public servants in universities, institutes, and other first-level centers of professional and technical training, taking into account the nature of their functions and their professional background.

Specifically, public managers who are not considered appointed employees can access master's degrees, as long as they come from a sectoral fund, a governing body or a State trust fund for scholarships and credits. To access them, public managers must meet at least three requirements at the time of applying for funding: (i) be part of the State's service for a period of three consecutive years or five alternate years in the public sector, (ii) certify the academic degree required to apply for the program, and (iii) have at least a good performance score and/or outstanding achievement during the past three years.

Likewise, the management of training of both types is composed of three stages, which are applied to all civil servants and, therefore, also to public managers.



In addition to the management of training activities in charge of the entities, SERVIR will develop the planning and implementation of actions aimed at strengthening the capacities of the management group. For this purpose, it is entitled to request information on the performance evaluations of the entities as well as any other relevant information to fulfill its strengthening objectives⁷⁰.

Team training

Managing civil servants under their responsibility is one of the transversal functions of all public managers,

which includes actively participating in the management of their development. Therefore, a good practice would be to have one of the public managers performance indicators related to the development of their work teams.

To this end, it is imperative that managers get involved in the stages of the training management process, so that such training courses are in line with the diagnosis of training needs (DNC) and the corresponding evaluations on their application are made. Public managers, in this case, are involved with the development of their teams and participate actively in the management of their training.

⁷⁰ Article 242 of the General Regulations of the Civil Service Act.

VII. PERFORMANCE MANAGEMENT OF PUBLIC MANAGERS

In the context of a public management that is mostly done by political appointment, as has been traditionally happening in Peru, the evaluation of managers is usually done at the discretion of the immediate superior applying political loyalty and not performance criteria.

However, through this management model, the performance assessment of civil servants is done through performance management, a subsystem responsible for identifying, recognizing, and promoting the contribution of civil servants to the achievement of institutional objectives and goals. In addition, this model evidences the needs required by servants to improve performance in their positions as well as the performance of public entities.

The goal of performance management in the public managers group is to move from a political evaluation to the accountability of managers for the results of their management, based on technical instruments and verifiable methodologies for assessing compliance with their goals and commitments, developed through the regulations approved by SERVIR.

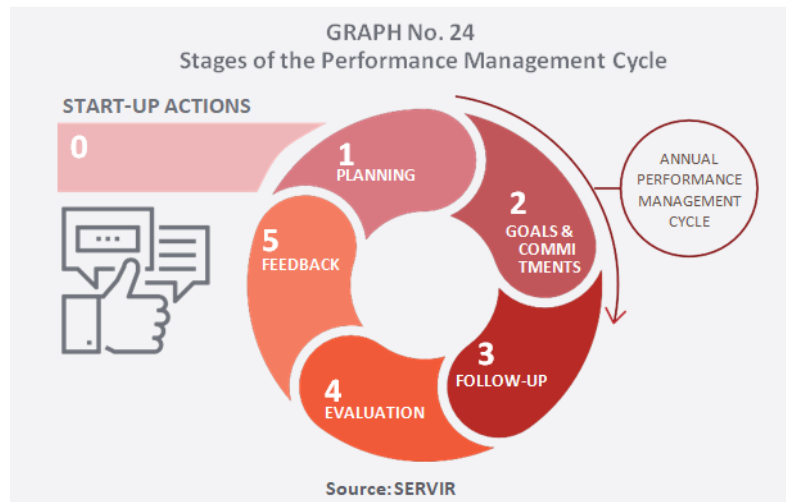
Performance management has a double dimension in public managers: as the evaluated and as the evaluators. On the one hand, they are evaluated based on the results of their management and, on the other hand, they evaluate the performance of the professionals under their responsibility.

The fact that public managers are evaluated in terms of goals and performance indicators constitutes a professionalization standard in the management layer.

The evaluation for managers based on results is described by the Ibero-American Charter for the Public Management as well as by various authors⁷¹. As background, there is a performance evaluation of public managers, made to the members of the Public Management Body through goals and indicators contained in the Public Manager's Assignment Agreement, which are key tools for performance evaluation (Iacoviello, 2011) and, recently, for competencies evaluation.

The performance management cycle is annual and is understood as a comprehensive, continuous, and systematic cycle that includes planning, goals and commitments setting, performance monitoring, evaluation, and feedback stages.

SERVIR provides technical assistance for the implementation of the performance management cycle with respect to the public managers group.



1. Planning

The planning stage includes those actions necessary to ensure that the annual cycle is developed and executed in accordance with the established parameters and must ensure the awareness and commitment of all the actors involved in the performance management of a given entity, as provided by the General Regulations of the Civil Service Act. Those responsible for conducting this stage are the Human Resources offices of each institution with the guidance of SERVIR. This stage includes the planning of performance management stages as well as awareness and training.

2. Setting of Goals and Commitments

The second stage of the performance management cycle is related to setting of goals and commitments. It is the part of the process in which the agreements on individual or group goals and individual commitments are finalized, which civil servants will assume for the performance period and which will be subject to performance evaluation.

Within the first three months of undertaking functions by managers, their goals must be set, preferably as a result of the consensus between managers and their immediate superiors; however, in the absence of consensus, the immediate superior shall make the decision.

⁷¹ For more information, see Echebarría (2005, p. 10), Villoria (2009, p. 108) and Longo (2014, p. 213-217).

If managers still have comments on the goals, they can resort to the hierarchical superior of their superior, who would ultimately define things. In the following period, the managers' goals setting should be included as part of the entity's annual performance management cycle⁷².

3. Follow-up

The follow-up and monitoring stage is a continuous stage throughout the performance management cycle. It implies the continuous orientation, feedback, motivation, and support by evaluators as well as the responsibility and effort by civil servants, in accordance with the outlined goals and the improvement plan defined as a result of the previous period, according to the General Regulations of the Civil Service Act.

4. Performance Evaluation

The performance evaluation stage corresponds to the performance evaluation that the evaluator must perform based on the monitoring carried out throughout the period and will conclude with the qualification to be communicated to those evaluated each year, according to the entity's schedule. In this stage, the achievements and compliance with the commitments and goals established at the beginning of the period are verified and confirmed, based on the recorded evidence. The results of public managers evaluation must be sent to SERVIR for its registration and consolidation, as it is the entity responsible for the systematization of the information on the performance management cycle.

The evaluation results of the goals and competencies or commitments will serve as a basis to define strategies for professionalization and strengthening of the public managers group.

For these purposes, SERVIR has defined a dictionary of public managers competencies (four competencies), which will be integrated into the transversal competencies of all public servants (results-oriented, teamwork and vocation of service).

5. Feedback

Feedback consists of the exchange of opinions and expectations on performance results between evaluators and the evaluated. As a result of the feedback, a performance improvement plan is drawn up that identifies training actions and other aspects that contribute to the improvement of the managers' performance.

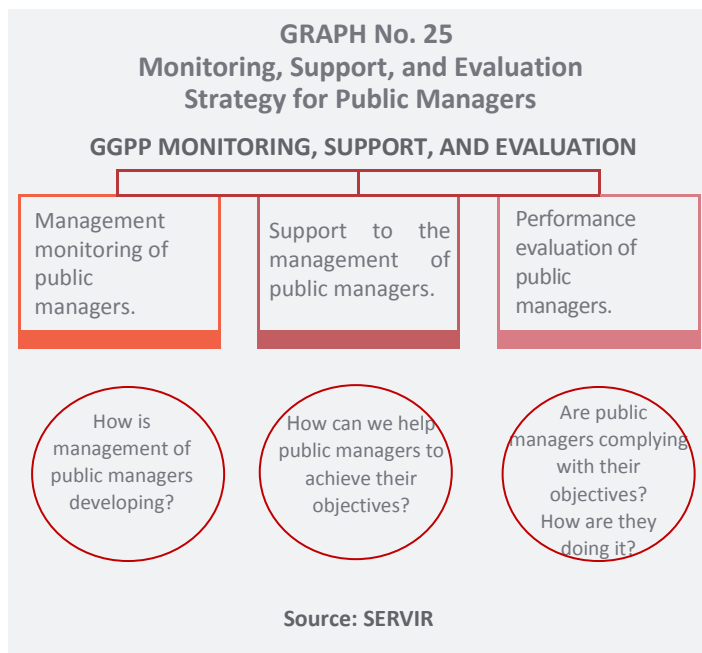
It must be borne in mind that, although feedback is a formal stage of the performance management cycle that takes place at the end of each evaluation period, it is also an action inherent to the managers' management that must be done frequently with the personnel under their responsibility, aimed at leading high-performance teams (Echeverría, 1999)⁷³. SERVIR will provide guidelines to promote frequent feedback from public managers.

⁷² See article 243 of the General Regulations of the Civil Service Act.

⁷³ For more information, see ECHEVERRIA, R. (1999). El arte de la retroalimentación en los equipos de alto desempeño. Newfield Consulting.

VIII. MONITORING AND SUPPORT STRATEGY FOR PUBLIC MANAGERS

A strategy for monitoring and supporting public managers has been validated with the Public Managers Cadre as a complement to performance evaluation processes.



1. Monitoring and Support Strategy for Public Managers

Given the heterogeneity of the public managers group, SERVIR proposes differentiated monitoring and support strategies. In the exercise of its directorship and with respect to a group of public managers, SERVIR will apply “centralized management strategies” similar to those

used with the Public Managers Cadre.

This group of managers includes public managers of the Top Public Management, who are not appointed employees, and

other managers in positions of greater impact representing approximately 30% of the positions of the public managers group in the National Government and regional governments.

TABLE No. 20
Segmentation of Public Management for the Purposes of Monitoring and Support Strategies

| LEVEL | TYPE OF MANAGEMENT | QUANTITY (%) | STRATEGY |
|-----------------------------|---|--------------|------------------------------------|
| Top Public Management (TPM) | Appointed public management | (20%) | Guidance |
| | Public management with centralized management | (30%) | Centralized monitoring and support |
| Public Management (PM) | Other PMs | (50%) | Guidance |

Source: SERVIR

It should be noted that public managers in these positions necessarily enter through public merit-based selection processes. Likewise, they will hold positions of greater impact in the State. The main reason for not including appointed and also high-impact positions is that they have high turnover; their appointment may end when the management period of the officer who designated such appointed employee expires, or even earlier.

SERVIR will implement the centralized monitoring and support strategy through monitoring analysts from the Development Management office of Public Management, which will appoint a group of managers, usually grouped by related entities. This strategy, based on analysts with direct contact with managers, has been successful for the managers' performance of the Public Management Body⁷⁴. On the other hand, SERVIR implements guidance strategies for other public managers.

Centralized management strategy

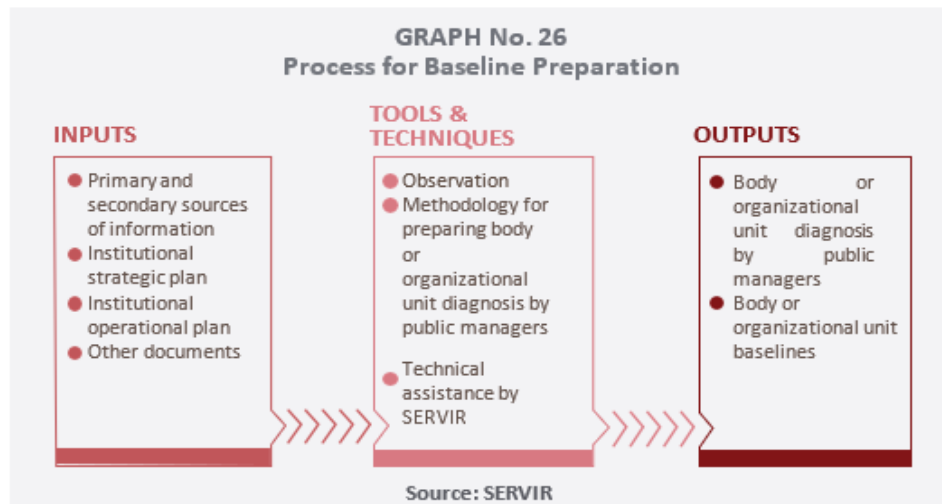
Before elaborating on the activities that make up the aforementioned strategy, it is important to mention that its two components (monitoring and support) are constantly fed back and do not constitute closed compartments.

As an input for all the activities described below, there is technical assistance in the preparation of baselines, which is the starting point of monitoring and support.

Technical assistance for the preparation of baselines

Public managers that are part of the centralized management segment will be provided with technical assistance to draw up a baseline or diagnosis of the situation of the body or organizational unit in which they start their duties. The preparation of the baseline of the body or organizational unit aims to establish the initial situation of the scenario in which managers are going to work.

⁷⁴ The average of goal fulfillment of public managers is 96%.



Monitoring tools

In the case of public managers with centralized management, monitoring is carried out by the monitoring analysts appointed by SERVIR. Monitoring analysts collect information throughout the year regarding the management of public managers.

Centralized monitoring tools include visits, meetings, telephone and electronic communications between managers and monitoring analysts.

The information collected through the monitoring tools will be used for the planning and implementation of support activities.

Public management support with centralized management

Support tools for public managers with centralized management are the following:

Coaching: SERVIR implements individual and/or group coaching programs as a priority for certain public managers with centralized management based on their levels of responsibility or complexity of the contexts in which they perform their functions.

IT Platform of public managers: Meeting and professional interrelationship platform managed by SERVIR and designed for public managers with the purpose of providing virtual information promoting the sharing of good practices and identifying improvement opportunities for their management.

National and macro-regional public managers meetings:

public managers meetings organized by SERVIR to strengthen the professional network of public managers, identify and share good management practices, address fundamental issues of the managerial function, and exchange experiences in general. The national meeting is held once a year, while the macro-regional meetings are held periodically and more frequently.

Guidance for other public managers

For the other public managers, which do not make up the public managers group with centralized management, the activities basically include access to the virtual platform of public managers and macro-regional meetings. Likewise, the experience of public managers will be systematized to provide guidance to the general management layer.

After elaborating on critical processes such as profiling, employment management, training, performance management, and the support strategy; as a final critical point, the criteria that determine the compensation of public managers is described below.

IX. COMPENSATION OF PUBLIC MANAGERS

Currently, in the Peruvian State there are more than five hundred remuneration concepts, a fact that has resulted in dissimilar remunerations among servants that perform similar functions. This has led to significant remuneration imbalance, even within positions of the same entity. To allow competitiveness, equity, internal and intergovernmental consistency of remuneration, the Civil Service Act and the Compensation Regulations, approved by Supreme Decree No. 138-2014-EF, establish a series of provisions that are presented below. Through the application of general and common criteria to all public managers, compensation is organized in such a way that it allows creating a remuneration environment that is based on the following principles:

Competitiveness: The compensation system seeks to attract and retain qualified personnel in the Peruvian Civil Service.

Equity: For work performed in similar positions, but in different demanding conditions, responsibility or complexity, different economic compensation is appropriate and for work performed in similar positions and conditions, similar economic compensation is appropriate.

Internal consistency: Compensations within the same entity are related to the demanding conditions, responsibility, and complexity of the position.

Intergovernmental consistency: Compensations of similar positions among the entities of the Public Administration are comparable among themselves.

This rule is applied taking into account the level of responsibility and competencies of the entity. The nomenclature of positions does not imply presumption of equal work and, therefore, does not imply similar compensation nor serves as a basis for evaluating internal or governmental consistency.

These principles were used to define the criteria used within each of the economic compensation components.

Compensation

Compensation is the set of income and benefits that the entity allocates to civil servants to remunerate the provision of their services to the entity. This is determined in accordance with the position that civil servants occupy as follows:

- a) Economic compensation, understood as the consideration in money for the activities carried out by civil servants in a certain position.
- b) Non-economic compensation, consisting of the benefits granted to civil servants to motivate and increase their competitiveness.

In the case of economic compensation, it is divided into three types of valuation: main, adjusted and prioritized.

The **main valuation** is the economic component determined for the job family, understood as the set of positions with similar functions, characteristics, and purposes.

On the other hand, **adjusted valuation** is the amount assigned to the position based on the entity where it is located and according to criteria such as hierarchy, responsibility, budget allocated, personnel directly assigned, scope of decisions or amounts that involve decisions on State resources.

Finally, an additional component called **prioritized valuation** is defined. This concept is only applied when atypical performance situations arise. These situations would be conditions of geographic accessibility, altitude, life risk, legal risk or effective services abroad.

Position valuation criteria of the public managers group

The valuation of positions in the Peruvian Civil Service is based on a quantitative methodology that prioritizes the compensation of managers based on a set of valuation criteria. Next, the criteria for valuing the positions of the public managers group are presented, which will enable to determine the annual compensation of the positions.

Main valuation

The main valuation is determined based on five criteria:

1) Classification of the entity: It includes a different classification structure for the entities of the Executive Branch (ministries, public agencies, among others), the Judicial Branch, constitutionally autonomous bodies, and regional governments. This criterion organizes these classifications into tables that can be found in the Compensation Regulations.

2) Organizational level: For purposes of valuation, the organizational levels of managers are divided according to the function of the position within the entity depending on whether it is located in the central administration or belongs to a special program or project in the National Government. On the other hand, for the regional level, three organizational levels are defined in terms of regional managements, regional directorates and other bodies (management, directorates or sub-administrations) defined ad hoc by each regional government.

3) Level of report: Two levels of management activity report are distinguished: report to public officers or report to public managers. These reporting levels apply to all managers regardless of their classification in the entity.

4) Budget range: The budget range is determined by the resources allocated to the executing unit or set of executing units, as the case may be, approved in the Opening Institutional Budget (PIA) for 2014. This criterion is applied in four ranges for some tables found in the Compensation Regulations, due to the number and variety of entities that make up the table in question.

5) Category: Finally, there is the category criterion. The category level of the management position is determined from the complexity of functions and responsibilities.

The maximum annual remuneration corresponding to the criteria application for the determination of the main valuation can be found in the appendices of the Compensation Regulations.

Adjusted valuation

Based on the amount obtained in the main valuation, the adjusted valuation is calculated through the function criteria of the position and the number of people under the management of the public manager.

1) Function of the position: This criterion determines if the function of the management position is substantive or of internal administration.

2) Number of people reporting to management: In this case, it is calculated by the number of civil servants that are under the responsibility of the public manager. The calculation of the total number of civil servants is direct (those under the management of the position) and indirect (those who are responsible for some of the public manager's subordinates and even the subordinates of the latter).

Both criteria are added to obtain a percentage of the main valuation. Such percentage will be added to the amount obtained in the calculation of the main valuation to obtain the final valuation of the position.

Finally, to calculate the total amount of the valuation of the management position, the principal and adjusted valuation amounts are added up. If necessary, the prioritized valuation is added up. It is worth mentioning that the amount of the last valuation is restricted to the term of the appointment conditions. The final amount corresponds to the final valuation of the management position.

Finally, to obtain the monthly valuation of the position, the resulting amount is divided into fourteen payments: twelve monthly payments and two annual bonuses.

In addition, civil servants are entitled to severance compensation (CTS), as appropriate to periods of service actually provided (of more or less than one year).

With this valuation methodology, variable amounts are not being considered in the case of public managers. Reviewing the international experience, it has been concluded that there are no relevant successful experiences related to granting variable amounts like those linked to performance. Usually, when implemented, there are several distorting and senseless deficiencies.

Timeliness for valuing positions

The valuation of positions includes the task of establishing economic and non-economic compensation for a position within an entity. During the process of transition to the Civil Service Act, the entities will carry out the valuation of positions during the "application of internal improvement" stage. This means that, after having surpassed the stages of the entities' situational review and having applied the improvements defined by the reports of said stage in relation to the civil servants' processes and profiles, the positions within the entity are valued.

This task is carried out after preparing the entity's table of positions (CPE), a management tool that contains the information of all the entity's positions, their valuation and the budget allocated to each of them, even those that are not within the scope of the civil service regime. It should be added that, in the preparation of this management instrument, only the economic compensations granted to the position are considered. Likewise, occupied and vacant positions⁷⁵ must be considered to establish the complete budget of the entity's payroll.

⁷⁵ This term is understood as each of the employees in a position with a unique profile. Positions can vary in terms of job conditions and directly related aspects.

CONCLUSIONS

1) Currently, the Peruvian State maintains a management function model essentially based on trust. The majority of management positions are determined by the close relationship that exists between senior officers and managers. This model does not allow the adoption of a professional management function and favors the scarce and precarious continuity of the policies. Also, the evaluation of results obtained by managers for the benefit of country development and its citizenship is in most cases non-existent. In that regard, there is still a management layer that is not professionalized and that does not play the relevant key role for the governance of the country and the challenges facing the Bicentennial of the Republic.

2) Other countries in Latin America and the vast majority of developed countries have migrated to professional public management models in which managers are not elected or evaluated based on their political allegiance, but on merit principles. The Civil Service Reform has the objective of ensuring that the group of public managers of the new regime is selected, developed, and evaluated based on meritocratic criteria.

In these professional public management models, managers acquire the “right to manage” as long as they are responsible for the results obtained for the benefit of the citizens. The development of a professional public management model will be progressively implemented in the Peruvian State.

3) For the continuity of policies, “what” is as important as “how”.

Public Managers are responsible for achieving results but, in the same way, a management competencies approach must be in place to secure the suitability of their management.

- 4) The management function in the public sector has certain peculiarities that make it unique, such as the articulation with the political environment or the creation of public value. It is necessary to take into account a comprehensive vision of the management function when defining public policies, guidelines, and implementation of the public managers group of the new civil service regime. All public managers, when addressing the creation of public value, need to carry out political environment management, strategic management, and operational management. Contrary to what may be thought, the ethos of the public sector makes it necessary for its managers to have the capacity for political analysis to achieve results in favor of citizens as well as strategic vision and operational capacity. This is part of the commitment made in some countries that have developed civil service systems and the aim is that the Peruvian public managers group follows that same line of professionalization and management analysis.
- 5) A deeper analysis of public management consists of separating related management functions according to the intervention of managers in each of the three components of the management function (political, strategic, and operational). These three areas are interrelated in a differentiated manner according to each management position. Differentiation involves a greater emphasis on the political level, or the strategic or operational level of the management function. The emphasis on the management function is grouped in the three roles of the institutional management family: political-strategic management, strategic management, and operational-strategic management. The emphasis in one or several areas of management determines the type of management of the managerial position. The development of competencies in a “career timeline” seeks the professionalization of the management function based on the paradigms of the management model.
- 6) The ultimate goal of the professional management function described in this document is to generate the greatest possible impact, using the least amount of resources for the benefit of the citizens. The aim of the institutionalization and professionalization of the management function is to promote the development of the country, through a more competitive and meritocratic State and focused on meeting the public preferences of the citizens.

APPENDIX No. 1

GLOSSARY

Alternate⁷⁶

It is the candidate who, having been found suitable, is not elected for the position and is ranked second in the order of merit after the chosen candidate. In the event that the selected candidate of the respective selection process could not take office or fails the probationary period, the entity must assign the position to the alternate.

Activity⁷⁷

Set of tasks necessary to carry out a process within a public entity or organization.

Pre-Bureaucratic Public Administration

It is the stage prior to the Weberian bureaucratic paradigm. Characterized by customer-based and patronage relationships, centralization in administration, inadequate control, priority of procedures before results, lack of clarity in the definition and execution of functions and their accountability, and in general, poor performance of the public sector in the provision of goods and services.

Remuneration range⁷⁸

It is the range of maximum and minimum amounts defined as a result of the valuation of positions of each level in a job family.

Candidate⁷⁹

It refers to the applicant who has been declared suitable after the call and recruitment stage of the selection process.

Management capacity

It refers to the necessary competencies which must be developed, progressively and continuously, by those people who undertake the management positions of an organization and the coordination and leadership activities involved. In that regard, management capacity must be understood as the ability to direct and manage people for the achievement of results, which creates stability, change, and organizational improvement at all levels.

⁷⁶ Taken from the working document: "Selection process management standards of the Administrative System for Human Resources Management".

⁷⁷ Taken from the guidelines "Standards for the application of public entities dimensioning".

⁷⁸ Regulation of the Civil Service Act, Law No. 30057.

⁷⁹ Taken from the working document: "Selection process management standards of the Administrative System for Human Resources Management".

Training

Training is the process that seeks to improve the performance of civil servants, through the development or closing of competency or knowledge gaps. It must be aligned with the job profiles and the strategic objectives of the entity. It can be work training or professional training. In the case of public managers, it can only be the work training type.

Compensations

According to the Compensation Regulations of the Civil Service Act⁸⁰, compensation is the set of income and benefits that the entity allocates to civil servants to remunerate the provision of their services to the entity.

It is determined according to the position of the civil servant and consists of:

- a) Economic compensation, understood as the consideration in money for the activities performed by civil servants in a certain position.
- b) Non-economic compensation refers to the benefits granted to civil servants to encourage and increase their competitiveness. They are not freely available to servants. An example of this is the training that civil servants have from their entity.

Competencies⁸¹

Personal characteristics that are translated into visible behaviors for successful work performance. It involves knowledge, skills and attitudes, which are the differentiating factor within an organization and a specific context.

In the case of public managers, they are: vocation of service, results-oriented, teamwork (transversal to all civil servants) and leadership, articulation with the political environment, strategic vision and management capacity (identified for public managers).

Corruption

It is the phenomenon by which a public servant is driven to act against the system's regulatory standards to favor particular interests in exchange for a reward (Pasquino, 1998).

Personnel Analytical Chart (CAP)⁸²

Institutional management document that contains the defined and approved positions of the entity, based on the current organizational structure set in its regulations on the organization and functions.

⁸⁰ Supreme Decree No. 138-2014-EF, Compensation Regulations of Law No. 30057, Civil Service Act.

⁸¹ Guidelines "Rules for the formulation of the Job Descriptions Manual-MPP".

⁸² Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities".

Entity's Table of Positions (CPE)⁸³

The entity's table of positions is the management tool in which the entities establish the positions, their valuation and the budget allocated to each one of them, including vacant budgeted positions, among other information.

Public Managers Cadre⁸⁴

It is the body in which highly qualified professionals are registered, as they have been selected in competitive and transparent processes to be assigned to entities of the National Government, regional governments, and local governments that require them.

Appointment⁸⁵

Appointment refers to the performance of a management or appointed position by decision of the competent authority in the same or different entity; in the latter case, prior knowledge of the originating entity and the server's consent is required. If the appointee is a career servant, at the end of the appointment he resumes functions of the occupational group and career level that corresponds to him in the originating entity. If the appointee is not a career servant, the relationship with the State ends.

Relocation

It is the process that comprises the management of public managers relocation to other positions or functions inside or outside the entity in a temporary manner. The decision is made by the public entity, after compliance with the specific requirements for each case. It includes relocation by appointment, rotation, special assignment, assignment of functions and commission of services, according to established administrative rules and procedures for each type of relocation.

Disengagement

It is the process by which the relationship between the public officer and the entity ends, according to the applicable regulations. It includes the formalization of the extinction of the relationship.

Dimensioning⁸⁶

Methodology that allows to determine the necessary number of civil servants, to achieve the optimal production of goods and services in favor of the internal administration and citizens, based on the identification of the process improvement of the entity.

Public manager⁸⁷

It is the civil servant who develops functions related to the organization, management or decision making of a body, organizational unit, program or special project.

Effectiveness

The organization's actions meet the citizens requirements and such program or activity actions are

⁸³ Regulations of the Civil Service Act, Law No. 30057.

⁸⁴ Legislative Decree No. 1024, Legislative Decree that creates and regulates the Public Managers Cadre.

⁸⁵ Regulations of Legislative Decree No. 276, approved by Supreme Decree No. 005-90-PCM.

⁸⁶ Guidelines on the Rules for the dimensioning of public entities.

⁸⁷ Civil Service Act, Law No. 30057.

developed according to the established objectives and committed goals. It is the conjunction of effectiveness and efficiency (Armijo, 2011).

Efficacy

Degree of compliance with the objectives of the organization, without considering the cost of the resources used (Armijo, 2011).

Efficiency

It describes the relationship between two variables: the physical production of a product (good or service) and the inputs or resources that were used to achieve that level of production. It seeks to provide more services with the same level of resources and reach a certain level of services using the least amount of resources possible (Armijo, 2011).

Bureaucratic approach of the Public Administration

This approach suggests that, in an organization based on an authority system, those who have a subordinate function accept as legitimate the issuance of instructions by persons occupying a hierarchical position of superior rank. Such organizations are based on rational analysis, which seeks to guarantee maximum efficiency in achieving their objectives (Weber, 1964).

Bureaucratic administration [...] is according to all experience the most rational way of exercising domination; in the following senses: precision, continuity, discipline, rigor and trust; calculability, therefore, for the sovereign and the interested parties; intensity and extension in the service; formally universal applicability to all kinds of tasks; and technical susceptibility of perfection to reach the maximum results (Weber, 1964, p. 178).

Public entity⁸⁸

For the Administrative System for Human Resources Management, public entity type A is understood as an organization that has legal status under public law, whose activities are carried out by virtue of administrative powers and, therefore, are subject to common standards of public law.

Likewise, and only for purposes of the Administrative System for Human Resources Management, type B public entities are considered to be those decentralized bodies, projects, programs or executing units pursuant to Law No. 28411 of a public entity type A that, in accordance with its operations manual or equivalent document, meet the following criteria:

- a) They have power to hire, sanction and dismiss
- b) They have a human resources office or any other acting as such, a head, understood as the maximum

⁸⁸ Article IV, paragraph a of the Regulations of Law No. 30057, Civil Service Act.

administrative authority and/or senior management or any other acting as such.
c) They have the resolution of the head of the public entity to which they belong, defining them as type B entities.

Remuneration scales

They are the levels that determine the civil servants' income in an entity.

Organizational structure

It is the sum of the ways in which the work done is divided into a set of interrelated bodies. These bodies are intended to fulfill functions, coordination and tasks that are related to the objectives of the entity.

Performance evaluation⁸⁹

It is the mandatory, comprehensive, systematic, and continuous process of objective and demonstrable appreciation of the public servants' performance in compliance with the objectives and functions of their position. In the case of public managers, it focuses on the verification and qualification of the fulfillment of goals defined for public managers during the management period, as well as the identification of gaps and competencies.

Job family⁹⁰

It is the set of positions with similar functions, characteristics, and purposes. Each job family is organized in functions and responsibilities with minor to greater complexity levels. The positions of public managers, civil career servants and complementary activities servants are organized in job families, considering particular criteria according to the nature of each group.

Function⁹¹

Set of related and coordinated actions that the entity, its bodies, and organizational units carry out to reach its objectives.

Function of the position⁹²

Set of activities different from each other, but similar due to the common goal they pursue. They describe the tasks to fulfill the mission of the position.

Public officer⁹³

It is a political representative or representative public office that exercises governmental functions in the organization of the State. Public officers manage or intervene in the management of the entity and also approve policies and regulations.

⁸⁹ Civil Service Act, Law No. 30057.

⁹⁰ Guidelines on Job positions and roles and Manual of Standard Positions (MPT) applicable to the civil service regime.

⁹¹ Supreme Decree No. 043-2006-PC. "Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities.

⁹² Executive Presidency Resolution No. 161-2013-SERVIR/PE, Guidelines on the Rules for the formulation of the Job Descriptions Manual -MPP.

⁹³ Civil Service Act, Law No. 30057.

Internal administration functions

It refers to those that allow the operation of the entity and are the support for the exercise of substantive functions. In that regard, these functions are related to efficient use of allocated means and material, financial and human resources. Some examples of functions of internal administration are those related to activities such as planning, budgeting, accounting, organization, human resources, information and communication systems, legal advice, among others.

Substantive functions

It refers to those directly linked to the formulation, execution, and evaluation of public policies. It also refers to regulatory, technical advisory, and execution activities directly linked to the fulfillment of the entities' objectives, established within the framework of their substantive rules⁹⁴.

Technical-operative functions

It refers to those functions, usually specific, that require essentially technical competencies for their implementation or compliance. These functions require application of general and specific knowledge related to certain positions and/or administrative processes of the organization. Such functions are usually performed by career civil servants.

Performance management

"Performance management is considered as a process that includes performance planning, which translates into the definition of performance patterns or standards, the active monitoring of performance throughout the management cycle, observing the performance of people and supporting them, performance evaluation, contrasting the guidelines and objectives of performance with the results, and feedback or 'feedback' to employees." (Iacoviello, 2014, en Longo, 2002, p.18).

Complementing the aforementioned, performance management is the subsystem responsible for identifying, recognizing, and promoting the contribution by civil servants to institutional objectives and goals. It evidences the needs required by servants to improve the performance of their positions and the entity⁹⁵.

Management by results

"Management by results can be defined as the model proposed by the administration of public resources focused on compliance with the strategic actions defined in the government plan, in a given period of time. In this way, it allows to manage and evaluate the action of State organizations in relation to public policies aimed at meeting the demands of society" (Makón, 2000, p. 3).

⁹⁴ Supreme Decree No. 040-2014-PCM "General Regulations of Law No. 30057, Civil Service Act".

⁹⁵ Article 25 of the General Regulations of the Civil Service Act.

Skills⁹⁶

Qualities of people that are inherent to their personal traits and/or are acquired by constant practice.

Induction

Induction is the process that includes the guidance function for public officers that join the entity. It includes the general induction referred to the information on the State, the entity, and internal rules. It also includes the specific induction referred to the position, providing the necessary information to facilitate and guarantee their integration and adaptation to the entity and the position.

Governance

“Governance states that institutions are regulated patterns of interaction, which are known, followed and commonly accepted, -although not necessarily approved by standards-, by social agents who expect to continue interacting under the rules and regulations formally or informally embodied in those patterns (O’Donnell, 1994, pp. 55-69)”. In this regard, governance supposes a systematic process of consolidation of behaviors and ideas through means and instruments (such as organizations and rules) to achieve a social purpose (O’ Donnell, 1994).

Organization and functions Manual (MOF)⁹⁷

The organization and functions manual is a regulatory document that describes the specific functions at the position or job level, developing functions from the organizational structure and general functions established in the regulations on the organization and functions and the requirements of posts stated in the table for personnel allocation.

Job Descriptions Manual (MPP)⁹⁸

The Job Descriptions Manual (MPP) is an instrument in which all job profiles of the entity are described in a structured manner.

Manual of Standard Positions (MPT)⁹⁹

The manual of standard positions (MPT) is an instrument that contains the standard positions profile description, in terms of the functions and general requirements, necessary within each role of the job family and that serve as a basis for entities to prepare their job descriptions manual.

Job mapping¹⁰⁰

It is an activity that consists, basically, in the collection and systematization of existing positions and human resources information in the entity and the preparation of the entity’s analysis report.

⁹⁶ Executive Presidency Resolution No. 161-2013-SERVIR/PE – Guidelines on the Rules for the formulation of the Job Descriptions Manual -MPP.

⁹⁷ Administrative Resolution No. 095-95- INAP/DNR – Rules for the preparation of the Organization and Functions Manual, Article 4

⁹⁸ Regulations of the Civil Service Act - Law No. 30057.

⁹⁹ Regulations of the Civil Service Act - Law No. 30057.

¹⁰⁰ Executive Presidency Resolution No. 106-2014-SERVIR/PE – Job Mapping Guide of the Entity.

Meritocracy¹⁰¹

It refers to the manner in which civil service positions are selected and occupied by suitable persons according to their competencies (abilities, aptitudes, and capacities) in a transparent process and under equal conditions. Likewise, merit is the basis for performance evaluation, performance management, permanence in civil service and, if applicable, career progression.

Institutional goals

Institutional goals are the results that are expected to be achieved and respond to the general and specific objectives of the institution. They can be short-, medium- and long-term goals.

Public management bureaucratic model

“It can be described as a ‘closed’ management function system. That is, only management officers can access the system as it is closed to ‘outsiders’. This model expresses the paradigm of the so-called ‘professionalization’, since the management function is the completion of the vertical career. There is a legal limitation because it does not admit ‘outsiders’ into the public service. Likewise, the performance of management positions is exercised for life. Finally, the management competencies are not formally defined and the selection process follows career and internal cooption criteria” (Villoria, 2009, pp. 106-107).

Politicized public management model

“It can be described as an ‘open’ system of management positions, in which any person can be appointed to the position, provided that they enjoy political trust. Therefore, the political trust criterion is predominant or exclusive in the designation. The appointment is made with absolute discretion. Performance requirements are not required to stay in office, as the evaluation of performance is political. Ultimately, the system does not measure skills or professional competencies; it only guarantees political loyalty” (Villoria, 2009, p. 107).

Management model

“It is the model resulting from the development of effectiveness and efficiency ideas and values in the public sector. It has some consent from the private sector and requires the definition of management positions. Its initial objective was to recruit public managers with experience in management functions in the public or private sector. Access is through instruments that guarantee merit. Public managers are management professionals (for service, knowledge, skills, and abilities). There is a public selection or designation procedure based on the demonstration of the competencies. Once selected, managers have their own or delegated powers to manage the organization (personnel, organization, budgets, etc.). The intention is to let managers manage, within the framework of plans or public-private partnership agreements, defined by the principal, which is the government. An incentive system to promote efficacy and efficiency is in place: rewards (especially bonuses and variable remuneration) and sanctions (especially termination due to breach of contract or undertaken indicators). The termination system is especially linked to performance: there is no room for discretionary or ‘political’ termination. Regular termination is due to insufficient results in management or expiration of the term assigned to managers” (Villoria, 2009, pp. 107-108).

¹⁰¹ Taken from the Regulations of the Civil Service Act, Law No. 30057.

Modernization of the State

As stated by the national policy of public management modernization towards 2021, the process of State management modernization aims to guide, articulate, and promote the modernization process in all public entities towards a public management for results that positively impact on the welfare of citizens and the development of the country. Its guiding principles are citizen guidance, intergovernmental and intersectoral articulation, balance between flexibility and management control, transparency, accountability and public ethics, innovation and use of technologies, and the sustainability principle.

Mobility

It refers to the transfer of people between jobs in the organization. It is important to distinguish between functional mobility, which implies only changes in tasks, and geographical mobility, which also involves moving the workplace with a change of residence (Longo, 2002a).

New Public Management

The New Public Management is a paradigm that “adopts the assumption of the rational behavior of government officials and recommends increasing control mechanisms and introducing pay-for-performance systems to improve efficiency in government actions. Based on managerialism, the New Public Management assumes that in order to improve management, it is necessary to grant greater flexibility and autonomy to agencies and senior managers” (Morales, 2014: 418).

Body¹⁰²

They are the organizational units that make up the organic structure of the entity.

Deconcentrated bodies¹⁰³

Office that exercises competencies or attributions by delegation of the public entity to which they belong.

Job profile¹⁰⁴

It is structured information regarding the location of a position within the organizational structure, including mission, functions as well as the requirements and demands that a person needs to conduct and perform properly in a position.

Probationary period

For public management positions, it is a process carried out in a period of not less than three nor longer than six months. The purpose of the probationary period is to validate and assess the competencies and experience of public managers in their position in the entity and verify their adaptation to the position and the convenience of the latter for the selected manager.

¹⁰² Taken from Supreme Decree No. 043-2006-PCM, “Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities”.

¹⁰³ Law No.26922, Framework Law on Decentralization.

¹⁰⁴ Executive Presidency Resolution No. 161-2013-SERVIR/PE, Guidelines on the Rules for the formulation of the Job Descriptions Manual --MPP.

The probationary period begins when managers start providing services in the entity and its duration must be recorded in writing in the administrative initiation resolution.

Position¹⁰⁵

Each of the employees in a position with a unique profile. Positions can vary in terms of job conditions and directly related aspects.

Process¹⁰⁶

Set of activities related to each other, which have the purpose of producing a good and/or service for a customer inside or outside the entity. The processes involve combinations of people, machines, tools, techniques, materials, and improvements in a series of defined steps and actions.

Selection process¹⁰⁷

It is the recruiting mechanism of the public managers group, career civil servants, and complementary activities servants. Its purpose is to select the most suitable persons for the position on the basis of merit, competencies, and transparency, ensuring equal access to the public function.

Professionalization of the management group

As stated in the Ibero-American Charter for the Public Service, the professionalization of the public function, especially of the management group, is understood as the guarantee that public servants have, currently and sustainable in time, a series of attributes such as merit, capacity, vocation of service, effectiveness in the performance of their functions, responsibility, honesty, and adherence to the principles and values of democracy.

Program¹⁰⁸

Programs are functional structures created to address a critical problem or situation, or implement a specific public policy, within the scope of competence of the entity in which they are created. As an exception, the creation of a program leads to the formation of a body or organizational unit in an entity.

Special project¹⁰⁹

Special projects are an articulated and coherent set of activities aimed at achieving one or several objectives in a limited period of time and following a defined methodology. They are only created to deal with temporary activities. Once the objectives have been met, their activities, if necessary, are integrated into line agencies of a national entity or transferred to a regional or local entity, as appropriate.

¹⁰⁵ Draft guidelines "Rules for the preparation and approval of the Entity's Table of Positions - CPE".

¹⁰⁶ Guidelines on the "Rules for the dimensioning of public entities".

¹⁰⁷ Civil Service Act, Law No. 30057.

¹⁰⁸ Organic Law of the Executive Branch, Law No. 29158.

¹⁰⁹ Organic Law of the Executive Branch, Law No. 29158.

Position¹¹⁰

It is the set of functions and responsibilities that apply to a position within an entity as well as the requirements for its proper performance.

Standard position¹¹¹

It is a generic position, in relation to a position within an entity, which encompasses general functions and requirements. Currently, there are very similar positions with different names in different entities. Standard positions establish a mandatory frame of reference for the preparation of the position profiles in the entities. It also standardizes nomenclatures with similar functions. For example, there is the position of legal advisory manager in some entities but the same position is known as legal advisory director in other entities. By applying a standard position, there would be a generic position that includes the two previous positions and the nomenclature or classification would be: "Head of the General Office of Legal Counseling".

Management positions

It refers to the senior and middle management positions held by public managers. These positions are between the public officer levels and the last level of career civil servants.

Management positions

A management position is understood as the position held by the person responsible for the bodies or organizational units. In other words, the heads of bodies, organizational units, and decentralized bodies. Once the public entities join the civil service regime, such positions will be part of the public managers group or the highest level of the career civil servants group. Management positions necessarily have personnel under their supervision.

Economic rationality

"The principle of economic rationality is usually expressed as the principle stating that individuals make the best decision within a set of possible decisions. The set of possibilities that individuals face depends on the existing restrictions, which may affect both what decisions can be made and what are the consequences of those decisions. According to the individual's objectives, monetary or non-monetary terms, distinction between rationality in a limited sense (benefit maximization) and rationality in a broad sense (profit optimization) can be formulated" (Streb, 1998, p. 1). In the case of economic rationality, individuals will seek to maximize their benefits in order to reach their maximum satisfaction through achieving the highest profit or benefit of the income they receive (Streb, 1998).

Regulations on the Organization and Functions (ROF)¹¹²

It is the technical-regulatory document for institutional management that formalizes the organizational structure of the entity aimed at institutional effort and achievement of its mission, vision and objectives. It contains the general functions of the entity and the specific functions of the bodies and organizational units and establishes their relationships and responsibilities.

¹¹⁰ Regulations of the Civil Service Act, Law No. 30057.

¹¹¹ Guidelines "Job families, roles, and manual of standard positions (MPT) applicable to the civil service regime.

¹¹² Supreme Decree No. 043-2006-PCM, Guidelines approved for the preparation and approval of the Regulations on the Organization and Functions - ROF by the Public Administration entities.

Customer relationships

It refers to power relationships and in some cases political and economic dependence that is established between individuals and/or political representatives based on the exchange of favors. There is a client-based style in Peru that involves politicians or officials who discretionally use public resources that they offer to their followers in exchange for support, loyalty, and legitimacy.

Dismissal

It refers to the administrative act involving the dismissal of designation or appointment made by the entity or competent officer.

Accountability¹¹³

It refers to the obligation of public officers and servants to give an account to the competent authorities and to citizens of the funds and property of the State under their responsibility and for the mission or objective entrusted to them.

Responsibility for results

Responsibility refers to the commitment and obligation undertaken by people in management positions for the achievement of results in the exercise of their established functions. In other words, they render an account of the resources under their responsibility and the results of their management in the area of their competence. This principle seeks that managers focus their actions and their management in the search of concrete results and achievements within their competence and, in general, within the institution as a means to evaluate their performance and continuity in the position.

Roles

The roles group positions of greater affinity among themselves within a family of positions. In the case of public managers, there is a single job family called “institutional management family”, which consists of three roles: political-strategic management, strategic management, and operational-strategic management.

Personnel turnover¹¹⁴

It is the temporary and complementary relocation of career civil servants within a same entity to a similar position. The decision is taken by the entity. Exceptionally, in case there is a difference in the economic compensation with the originating entity, it is covered by the destination entity. Turnover can take place for a maximum period of one year through a Resolution of the Human Resources Office or any office acting in its behalf, duly substantiated, and requires the servant’s consent if it takes place outside the usual place of work, with the exception of positions that entail, within their functions, permanent transfer from time to time.

Civil servant¹¹⁵

It refers to the servants in the Civil Service Law regime organized into the following groups: public officers, public managers, career civil servants and complementary activities servants.

¹¹³ Guidelines “Job families, roles, and manual of standard positions (MPT) applicable to the civil service regime.

¹¹⁴ Regulations of the Civil Service Act, Law No. 30057.

¹¹⁵ Regulations of the Civil Service Act, Law No. 30057.

It also includes the servants of all the entities, regardless of their level of government, whose rights are regulated by Legislative Decrees No. 276, Law on the Foundations of the Administrative Career and Remuneration of the Public Sector, Legislative Decree No. 728, Labor Productivity and Competitiveness Act, special careers in accordance with the Law, those hired under the regime of Legislative Decree No. 1057, and under the modality of direct contracting referred to in these regulations.

Civil career servant¹¹⁶

It refers to civil servants who perform functions directly linked to the fulfillment of substantive functions and internal administration of the entity.

Appointed civil servant¹¹⁷

It refers to civil servants who are part of the direct and immediate environment of public officers or public managers and whose permanence in the civil service is determined and subject to the trust by the person who appointed them. They can be part of the public managers, career civil servants or complementary activities servants group. They are hired without merit-based public competition, but on the basis of the discretionary power available to the officer that designates them. They are not part of a group and are subject to the rules applicable to the position they hold.

Complementary activities servant¹¹⁸

It refers to civil servants who perform functions indirectly linked to the fulfillment of substantive functions and internal administration of the entity.

Spoils system

“Spoils system” is a method for public positions distribution among the supporters of the successful candidate in the elections that some politicians apply when they come to power. They see bureaucracy as a sort of “spoils” of war where the most attractive public functions are designated to the supporters of “the cause”. They are real privileges that are distributed among the members of the ruling party or group, as rewards for their electoral performance. This is called the “spoils system” in the United States¹¹⁹. Free affiliation by political allegiances and other practices typical of a spoils system regarding public employment frequently coexist in this system.

Systems¹²⁰

Systems are the sets of principles, rules, procedures, techniques and instruments by which the Public Administration activities are organized, which must be carried out by all or several entities of the branches of the government, constitutional bodies, and the levels of government. There are two types: functional and administrative systems.

¹¹⁶ Civil Service Act, Law No. 30057.

¹¹⁷ Civil Service Act, Law No. 30057.

¹¹⁸ Civil Service Act, Law No. 30057.

¹¹⁹ Taken from the Encyclopedia of Politics by Rodrigo Borja.

¹²⁰ Law No. 29158, Organic Law of the Executive Branch.

Patronage systems

Patronage systems are pyramidal structures of contracts between superiors and multiple subordinates, in which a position in the public sector is rewarded with some form of loyalty to the superior.

Administrative systems¹²¹

Administrative systems are intended to regulate the use of resources in Public Administration entities, promoting efficiency and effectiveness in their use.

Administrative systems of national application refer to human resources management, supply, public budget, treasury, public indebtedness, accounting, public investment, strategic planning, judicial defense of the State, control, and modernization of public management.

Functional systems¹²²

Systems are the sets of principles, rules, procedures, techniques and instruments by which the Public Administration activities are organized, which must be carried out by all or several entities of the branches of the government, constitutional bodies, and the levels of government. Functional systems are intended to ensure compliance with public policies that require the participation of all or several government entities. The Executive Branch is responsible for regulating and operating the functional systems. The system's rules establish the attributions of the governing body of the system.

Task¹²³

Steps to follow for the execution of an activity within a public entity or organization.

Transition to the Civil Service Act¹²⁴

It is a process of four sequential stages organized in two great moments. At first, it refers to the transition of public entities, which must perform an analysis of their current situation to identify and apply some improvements in order to prepare or provide goods or services, and determine the number and specific characteristics of the necessary positions to operate efficiently. Secondly, it is related to the transition of servants, which implies the realization of public competitions by the public entities that have transitioned, to gradually undertake all those positions considered necessary.

Transparency

It is defined as a practice and social value in the execution of certain actions. In this case, transparency within a public entity or organization is defined as the awareness of the decisions made by the various instances of government. In this regard, all information held by the State is presumed to be public¹²⁵ and the State must adopt basic measures that guarantee and promote

¹²¹ Law No. 29158, Organic Law of the Executive Branch.

¹²² Organic Law of the Executive Branch, Law No. 29158.

¹²³ Guidelines on the rules for the dimensioning of public entities.

¹²⁴ Guidelines for the Transition a Public Entity to the Civil Service Regime, Law No. 30057.

¹²⁵ Taken from the Transparency Act.

transparency and compliance with its function of delivering the information demanded by citizens.

Organizational unit¹²⁶

It is the organizational unit comprising the bodies contained in the organizational structure of the entity.

Public value¹²⁷

Public value consists of creating the maximum possible value for citizens using the existing resources in the institution (they can be human, financial, technological, etc.) and based on the management capacity, in order to fulfill the purposes established in the mandates with maximum efficiency and effectiveness (Oyayrce, s.f). This idea refers to the value created by the State through regulations, laws, quality services, among others. Value is also created through individual transactions with citizens, satisfying their demands and guaranteeing their rights.

Economic compensation valuation¹²⁸

Economic compensation valuation is the mechanism by which the amount assigned to a specific position is determined and which, as consideration in money, is granted to the civil servant who holds such position. In the case of the Civil Service Act compensations, the determination of such amount implies the valuation of the position, and it must be validated by the Ministry of Economy and Finance, through its General Directorate of Public Resources Management, taking the entity's proposal into account.

Engagement

Engagement is the process by which the beginning of the relationship between managers and public entities is formalized. In the case of appointed managers, it is done through an administrative resolution. In the case of managers participating in a competition, it is done through an agreement or contract stating the rights and duties relevant to the position as well as the characteristics and conditions concerning the provision of the services.

¹²⁶ Taken from Supreme Decree No. 043-2006-PCM "Guidelines approved for the preparation and approval of the Regulations on the organization and functions (ROF) by the Public Administration entities".

¹²⁷ For further information, see Moore, M. (1998). *Gestión estratégica y creación de valor en el sector público*.

¹²⁸ Supreme Decree No. 138-2014-EF – Compensations Regulations of Law No. 30057, Civil Service Act.

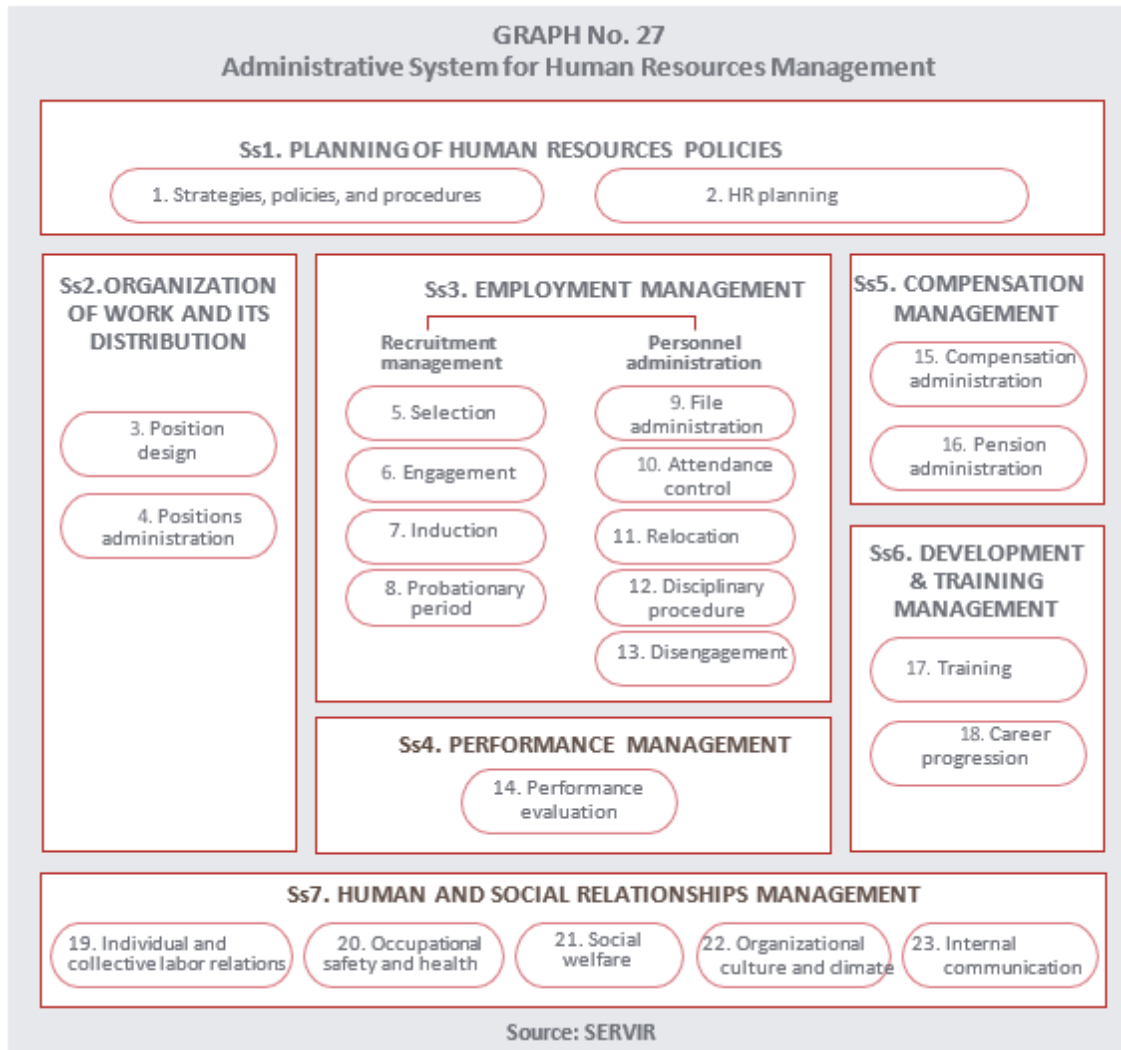
APPENDIX No.2 HUMAN RESOURCES MANAGEMENT SUBSYSTEMS

It is the system that establishes, develops and executes the State policy regarding civil service, through the set of rules, principles, resources, methods, procedures and techniques used by the public sector's entities in the management of human resources. It is described in the guidelines on "Rules for the management of the Administrative System for Human Resources Management in Public Entities".

This comprehensive management system operates through seven subsystems whose implementation will attract, retain, and promote the development of qualified people to the public sector. The purpose is to meet institutional objectives and generate commitment towards a culture of service to citizens.

The subsystems that it comprises are the following:

- 1) Planning of human resources policies
- 2) Organization of work and its distribution
- 3) Employment management
- 4) Performance management
- 5) Compensation management
- 6) Development and training management
- 7) Human and social relations management



These subsystems contain, at least, the following processes:

Human resources policy planning

This subsystem organizes the human resources internal management in line with the strategic objectives of the entity. It also allows to define policies, directives, and guidelines of the entity, with a comprehensive vision on issues related to human resources. The processes that are considered within this subsystem are:

- a) Strategy, policies and procedures
- b) Human resources planning

Organization of work and its distribution

The characteristics and conditions governing the functions are defined in this subsystem as well as the suitability requirements of the persons appointed to perform them. The processes that are considered within this subsystem are the following:

- a) Positions design
- b) Positions administration

Employment management

It consists of the set of personnel policies and practices aimed at managing the flows of servants into the Administrative System for Human Resources Management from recruitment to disengagement. This subsystem contains processes that have been classified into two groups:

Recruitment management

- i) Selection
- ii) Engagement
- iii) Induction
- iv) Probationary period

Personnel administration

- v) File administration
- vi) Attendance control
- vii) Relocations
- viii) Disciplinary procedures
- ix) Disengagement

Performance management

In this subsystem, the contribution of civil servants is identified and recognized, the needs of civil servants to improve performance in their positions are demonstrated and; therefore, those of the entity. The process of this subsystem is performance evaluation.

Compensation management

This subsystem includes the management of the set of income and benefits that the entity allocates to civil servants, as consideration for the contribution of the latter to the purposes of the organization, in accordance with the positions they hold.

The processes that are considered within this subsystem are:

- a) Compensation administration
- b) Pension administration

Development and training management

This subsystem contains policies for career progression and abilities development, aimed at ensuring individual and collective learning necessary to achieve organizational purposes, developing the competencies of servants and, in the applicable cases, encouraging their professional development. The processes that are considered within these subsystems are:

- a) Training
- b) Career progression

Human and social relationships management

This subsystem comprises the relationships established between the organization and its civil servants regarding personnel policies and practices. The processes that are considered within this subsystem are:

- a) Individual and collective labor relations
- b) Occupational safety and health (OSH)
- c) Social welfare
- d) Organizational culture and climate
- e) Internal communication

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