

Capacity Development and Policies to Reduce Poverty in Latin America

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Abstract

This article aims to analyze some of the government experiences to promote the management capacities of public officials in poverty reduction policies – in particular, the Conditional Cash Transfer Programs (CCTP) of four countries: Brazil, Colombia, Mexico and the Dominican Republic. The methodology includes a bibliographic review and the analysis of government documents such as plans and reports on capacity development for the CCTPs' officials, and interviews with groups with the managers responsible for the training in each country, performed via Skype or telephone. Based in the bibliography review, the main issues of the capacity development strategy were included in a question guide on the management, objectives, design, contents, implementation, infrastructure, budget and evaluation and of the training programs in each country. Results were analyzed using the content analysis technique, according to the sets of concepts and questions asked in the interviews, and comparing the results between countries. Results show that capacity development in CCTPs varies among countries, according to the level of centralization, available infrastructure and external collaborators. Governments have professionalized the hiring process and the strategy of capacity building of their officials, who have diversified the skills, contents, and the participation of external institutions, partners and collaborators in this process, even focusing in a more culturally sensitive formation, for example, in indigenous languages and participation, as in the Mexican and Colombian cases. However, improvements are necessary in evaluating the results of the training implemented, in order to plan and implement programs based on evidence.

Keywords: capacity development, social policies, Latin America, poverty

1. Introduction

1.1 Challenges in Capacity Development in Social Policies in Latin America

The deficiencies and challenges of the capacity development process for public administration, for State bureaucracy, and for the institutionalization of the efforts made in promoting the capacities of the civil service are key factors for the implementation and evaluation of social policies.

The great extent of the territory and the large population deepens the problems related to the weaknesses of the arrangements with the institutions and the unstable relationship between politics and administration, characteristics that predominate in the administrative culture of the public sector. The necessary inputs to fulfill these governmental functions are the collection of resources and their expenditure, how they are collected, and how much of the resources collected is used by governments to produce public goods and services.

The income or the capacity of the State to collect taxes allows the maintenance of government operations, the provision of goods and services to the population, and to the undertaking of investments for the redistribution of the income by territory and population. The size of governments and their ability to collect taxes varies greatly in LAC.

In 2015, in Brazil, the State collected 33% of its GDP, or USD 5,200 per capita per year – above the regional average. This was followed by Mexico (27% or USD 3,900 per capita), Colombia (27% or USD 3,900). The least tax collection was observed in the Dominican Republic, with 14% of GDP or USD 2100 per capita. Despite the increase in collection capacity in the last decade, the average tax collection in the region is still very low compared to the OECD countries, and it is not sufficient for countries to provide public goods and services for its entire population (OECD, 2015).

The expansion of public services is key so that public actions can progressively increase, mainly in the regions where the majority of the population lives, and particularly where the poorest and most vulnerable groups are, whose residents live in difficult to access areas, where the state service coverage was very low or nonexistent until the 2000s.

1.2 Conditional Cash Transfer Programs (CCTP) and Other Non-Contributory Programs

From the 90s, deep crises, unemployment and increases in poverty in Latin America led governments to increase in social investments and to develop poverty reduction programs, mainly CCTPs and other non-contributory pensions and health systems. All the countries of the region developed a complex network of social policies that included previous contributory welfare systems and new non-contributory protection systems, focused on the inclusion of poor and vulnerable people – such as those with disabilities, older adults and residents of marginalized and environmentally precarious regions – who previously could not be reached by the State, due to its weaknesses and low budget. New no contributive social policies are breaking the link between social protection and the labor market (Arza, 2012).

The expansion and diversification of social policies allowed States to meet the social demands of extremely unequal societies, in the vast majority of cases achieving a reduction of poverty and inequalities in the region. Another key aspect was the inter-sector integration of these policies through conditions for beneficiaries, and training systems for officials who have to provide information and multiply capabilities to achieve the main objectives – increasing enrollment in primary education, access to health services, decreasing mortality and child labor, reducing gender, race and urban / rural differences, and a greater empowerment of poor, indigenous and Afro-descendant women who, for the first time, autonomously managed a bank account and bank card and a regular domestic budget. All these achievements depend on the development of capabilities of officials in coordinating, implementing, monitoring and evaluating successfully these policies. These mechanisms give greater efficiency and effectiveness to social policies, are designed so that the cash benefits reach the poor families directly and, in some countries, special policies are combined also with mechanisms to mitigate gender, generational and racial inequalities. (Gomes, 2016, 2017; Leao & Pinzani, 2016; Campello, 2016).

In spite of these efforts and positive results at the beginning of the 2000s, the structural features of these inequalities remain in force and intensified with the US economic crisis of 2008-2009 and with the recent political and economic crises in most of the countries of the region, mainly because of massive increases in unemployment and informal employment. Poverty, low levels of education and extreme inequalities persist, and Latin America remains the most unequal region in the world.

To face persistent poverty and inequalities, in the last decades, the Latin American States have managed to increase their collection capacity to invest in social development, and thus fulfill their redistributive function of income, through taxes and transfers. In 2014, the total public expenditures of the different LAC countries increased, reaching an average of 33.1% of GDP; total social expenditure corresponded to 15% of GDP and expenses with social benefits reached 8.7% of GDP. On average, education expenditure represents 4.6% of GDP (5.3% in the OECD) and health expenditure, 4% of GDP (6.2% in the OECD), with considerable differences between the various countries in the region. In turn, contributory pensions correspond to 3.8% of GDP (OECD 2014; World Bank 2018).

The countries that manage to reduce inequality in greater proportions (between 9% and 14%) are those that implement greater social spending, such as Brazil, which spends 25% of GDP, while Mexico and Colombia spend half of that amount. In turn, pension spending, which is similar to the OECD average, has a low redistributive effect in the region (World Bank, 2018).

Most countries resort to extra-budgetary expenses to cover social expenses, particularly those assigned to health. Therefore, it becomes more relevant to overcome this fragmentation of social protection and improve inter-sector coordination and professionalization of officials, which is a key factor in achieving greater social spending efficiency in the region. This argument is reinforced by the fact that, in LA, expenses with policies are very effective in reducing inequality, and have a more important effect than the progressivity of the tax system. However, the average social expenditure in LA still represents half of the average expenses of the OECD countries, the expenses with redistributive pensions total less than half of the OECD average, and direct transfers total 1.7% of the GDP, more than a third of the OECD average (OECD, 2014; Lusting & Pessino & Scott, 2013; Lusting, 2016).

1.3 The Role of the Civil Service in the Efficiency of Investments in Social Policies

In 2014, jobs in the public sector accounted for only 12.4% of total employment in Latin America, which

corresponds to almost half of the OECD countries (21.6%), and government investment as a percentage of GDP reached 2.6% in LAC (less than the average of 3.2% invested by OECD countries). In all these areas there are great variations between countries. In 2014, the Dominican Republic had 18% of total public jobs, Brazil and Mexico 12.5% and Colombia 4%. (OECD, 2014)

Public servants play a central role in policies to reduce poverty and inequality, once they are responsible for the use of the resources applied in these policies, and for the design, implementation and monitoring of social policies and their results. In recent decades, with the expansion of the coverage of social policies, the civil service had to face structural barriers for the first time, identifying and attending to more extensive territories and huge contingents of poor, indigenous, Afro-descendant residents in marginalized areas – the most difficult access groups for the State to act on behalf of.

The training of public officials who operate social policies is a key factor in evaluating their results, to the extent that executive and efficient performance is increasingly required, depending on the size of the State, on its collection capacity and social investments in the public service, and the financing of agreements with the private sector that complement public actions, also including the development of civil service capabilities for efficient management of public policies.

Public service develops, over time, administrative traditions, norms and cultures that structure social policies and programs, institutions, state management models and public service training and development agendas. In Latin America, currently, all countries have democratic processes and elected political leaders, and most of them operate under the presidential government regime. Their heads of state make collegial decisions, attending cabinet meetings in 93% of the countries, contacting ministers (80%) and, less frequently, meeting with advisors (46%) (OECD, 2014). However, at the level of public administration, each country has different administrative cultures in the public sector, and their approach to the executive development of the public sector also varies.

In the Asiatic Pacific region, for example, countries in which a single party has assumed power for a long period of time may tend not to adopt a clear separation between policy and administration, and apply restrictive investments in the recruitment and career area in order to develop their leaders (Low, 2016). The lack of political support to promote the professionalization of the public service, as happened in the Philippines and Hong Kong, generates problems of efficiency of social policies (Alex & Sonco, 2011).

In countries with a more targeted career management tradition, leadership development points more explicitly to succession management, unlike those countries where people decide which positions they want to apply for, and promotion decisions are made based on competition and merit.

1.4 Vertical Decision-Making in Executive Governments and Managing Social Policies

Personnel decision-making can be more centralized (when there is a directive cadre of the entire public sector) or decentralized (based on independent leadership teams and a pool of agencies). The high level of subordination in terms of budgetary decisions in the public service explains, in large part, the poor performance of Latin American governments, which corresponds to just 42 points out of a total of a potential 100, also weakening their low capacity of strategic planning (CLAD, 2003).

Countries with greater planned management capacity, such as Brazil and Colombia, are characterized by the high degree of institutional planning, with consolidated routines and information on the number of staff, budget and the quality of human resources competencies. The institutions have budgetary and technical independence, developing their own strategic documents and their personnel information systems, under the coordination of an inter-ministerial civil service agency.

In turn, countries with poor performance in the planned management of human resources, such as Mexico, do not have the basic planning instruments. Progressively, most countries have adopted the criteria of recruitment for merit, competitiveness and open calls to reduce arbitrariness or political motivations in hiring, firing and the termination of services; Web portals are used to make offers and to access job applications, and transparency and compensation are offered to stimulate performance and to monitor staff performance. Brazil and Colombia stand out with better scores in all these processes, while Mexico and the Dominican Republic need to further develop their human resources management processes. (OECD, 2014).

In particular to operate social policies effectively and efficiently, governments depend largely on their professional civil service. However, García & Bonivento (2016) use performance indicators and identify a low technical capacity of the Latin American bureaucracies, and difficulties in improving the quality and effectiveness of public administration.

Currently, bureaucracy is required to handle the various institutional challenges inherited centuries ago: the

fragmentation and weaknesses of the State, institutions and societies at a time of globalization and financialization; an increase in popular demands; the integration of a complex and fragmented social security and protection network; the integration of this entire safety and social protection network made up of various public and private actors with multiple types of agreements; the territorial and population expansion of social policies and their diversification, and adopting an inclusive and redistributive character (Amin, 2014). The coverage of services has increased without a corresponding increase in quality. This situation requires a high level of professionalization and a multiplicity of skills of public servants to serve the entire population and reach the entire territory, including the needs of all vulnerable groups and encouraging their participation (Fleury, 2017).

To overcome these difficulties, a reorientation of the public sector and its capacity building has been promoted in recent decades. Global markets and the expansion of the societies' demands require that officials acquire greater managerial and business capacities and, at the same time, be sensitive and receptive to new priorities of governments and the population, monitoring and evaluating a new and complex matrix of social policies.

1.5 Capacity Development in the Public Sector in Latin America

Latin America has increased the average levels of schooling of the adult population from an average of 5 years in the 1950s, to an average of 12 years in 2010. However, there are no advances in the promotion of job skills (Fiszbein & Cosentino & Cumsille, 2016), which include cognitive skills (PISA), technical and socio-emotional skills for managerial leadership and skills to cope with changes and challenges. For example, in the private sector, only 10% of the Economically Active Population receives some type of training per year. In private companies, the percentage of workers receiving formal training varies from 79% in Brazil to 62% in Colombia and Mexico, and 57% in the Dominican Republic. (OECD, 2015).

As a result, there is a general lack of skilled workers; 42% of private sector employers report difficulties in finding skilled workers and take an average of six weeks to fill a qualified vacancy (Manpower Group, 2015). In Brazil, 75% of companies claim a lack of qualified personnel to develop their businesses, in Colombia, this percentage is 45%, in Dominican Republic 35% and in Mexico 31% (Talent Shortage Survey, 2014).

In 2014, Latin America was the region of the world that faced the most problems in filling qualified jobs – all its countries badly positioned– with Brazil being the fifth worst placed, and Colombia taking the ninth worst position. In 2015, Brazil continued in the same world position, while Mexico displaced Colombia and took the ninth place among those who have the most difficulty filling qualified positions due to lack of applicants' skills, whether in language and mathematics, technical skills, of communication and socio-emotional (Busso & Bassi & Urzúa & Vargas, 2012).

Even in Brazil, the country where training courses are most offered, a large proportion of companies identify large training gaps. In the public sector, the volume of courses offered is high: most public institutions offer more than 750 courses a year, 20% of them offer between 250 and 750, and 20% offer between 101 and 250 training courses to year. These courses aim to complement formal education, are of short duration, and cover differing areas of technical, socio-emotional, social or cultural development, and others (Llisterri & Gligo & Homs & Ruiz-Devesa, 2014; Fiszbein et al., 2016).

Government finance, through taxes, a greater effort to develop professional skills, compared to the private sector, different from developed countries. The countries of the region strengthen the administrative and executive capacities of those responsible for their public service through several arrangements of training and executive development. Capacity building increasingly focuses on the development of strategic, analytical and leadership skills, coordination, comprehensiveness of actions and accountability, changing its orientation on time.

Until the 1990s, the civil service of Latin American countries adopted a bureaucratic orientation, attentive to institutional procedures such as the consistency of their practices, routines, and compliance with obligations and due diligence. With globalization, more and more states have transformed the definition of public agents' capabilities to a more market-oriented and management-oriented one. Currently, public-orientated training is promoted and sensitive to the changing needs and priorities of governments and societies, which are increasingly globalized and interconnected. This requires a high level of strategic leadership and analytical capability from public officials in leading the state and meeting social demands. (Ibero-American Charter, 2003).

Until 2014, there was little progress in this regard, and Latin America still has a public management development rate below the world average. This is one of the causes of the difficulties faced by developmental and inclusive policies, whose objectives and results depend mainly on the State. Latin America still had a public management development rate below the world average, which was one of the causes of the difficulties faced by developmental and inclusive social policies and also to achieving democratic consolidation (OECD, 2014).

Although Latin America show advances in the control of *clientelism* and in promoting the autonomy of institutions, and in adopting hiring based in merit, there is not much knowledge on the progress and achievements in the capacity development in bureaucracies in the region.

2. Methodology: Sample Design and Methods

This article analyses and compares some of the main characteristics of the capacity development programs of the personnel responsible for the implementation of the CCTPs, the approaches adopted to define their objectives, and the characteristics of the institutions responsible for the program officers in Brazil, Colombia, Mexico and the Dominican Republic. This analysis includes the representations and speeches of the officials working in the programs, based in institutional reports and interviews about the training plans implemented.

2.1 Sample Design and Description of the Participants in the Study

The countries compared in this study, Brazil, Colombia, Mexico and Dominican Republic differ greatly in their geographical scales and populations. Brazil and Mexico have half of total population in the region, at least twice as much population and territory as Colombia. While the Dominican Republic, located in Central America, is rated more than ten times lower in both indicators, implying different magnitudes in the challenges faced by the State in terms of coverage of its social policies.

In each country the managers responsible for CCTPs, for human resources and for capacity development were interviewed in Brazil, Colombia and Mexico. In the Dominican Republic only the official responsible for the CCTP participated in the interview. In total, nine managers participated in four interviews by WhatsApp or Skype. Each interview lasted around two hours. Arrangments were made through interinstitutional agreements according to the agendas of the officials, and whitout any kind of payments made to participants

2.2 Research's Design, Procedures and Instruments

The bibliography review was based in searching material related to the original challenges of the States and of capacity development in Latin American countries, and in the institutional documents of the governments – specifically on the conditions and strategies of training officials of CCTPs. This review defined the sets of concepts to be asked to the managers of the strategies of capacity development: 1. Organization and Inputs: human resources, infrastructure, sources of collection, budgets; 2. Processes of Institutional Governance, particularly in human resources: level of formal education of the officials and hiring, prizes and promotions, careers and stability, public operations and responsibilities; 3. Capacity development: planning, implementing and evaluating the programs, federalism - centralization and decentralization, external partners and collaboration, institutions participants, definition of priorities and contents, decision-making mechanisms, autonomy in managing budgets and contents, monitoring and evaluating programs of capacity development.

These indicators where included in a guide of questions to oriented the interviews with managers who are responsible for capacity development of officials working in CCTPs in each country, in order to identify the trends, similarities and differences, opportunities and challenges experienced in each country.

2.3 Method of Analysis

The method ot analyze the results was the discourse analysis, comparing coincidences and divergences between countries, in order to classify the countries according to the models known in the theoretical references and to discuss the opportunities and challenges related to each model and between countries.

3. Results

The models of education and training of public officials vary in their degree of impact and relevance, since they are defined as courses, workshops, and face-to-face or distance seminars, are short-lived and cover a variety of objectives, approaches and content. In some institutions, capacity development also offers formal courses in higher and postgraduate training. However, in LAC the training on offer to public servants is less than in OECD and Southeast Asia countries (Low, 2016).

Those most demanded are capacities and leadership in social policies, which are taught mainly in public institutions and national training schools, as in Brazil and Colombia. In the latter country, there are limitations of spaces, infrastructure, research and scientific dissemination. This model has its internal coherence and homogeneous content as an advantage and, as a disadvantage, the rigidity of the programs to face emerging diversity in social needs and demands at local and sector levels (García & Bonivento, 2016).

The other countries adopt primarily outsourced training to train and update their officials, the model adopted in Mexico, based on external institutions and agencies (mainly universities and international organizations). This model recruits external professional talent, uses salary and bonuses incentives, and already existing formal

training. A disadvantage of this model is the difficulty in controlling discretion, regulating processes and giving coherence and integrality to capacity development. The advantage is greater flexibility (García & Bonivento, 2016).

3.1 The Organization of the CCTP and Their Training Teams

The CCTPs are managed by the federal governments through the central staff, who are responsible for coordinating operations and multiplying trainings in the states and municipalities. In 2018, in Brazil, there were 122 federal managers working in CCTP, 90 in Colombia, and 450 in Mexico. At a local level, Brazil has 5 570 workers, Colombia has 1 284 non-indigenous officials and 300 indigenous, Mexico has 7 100 workers and, in the Dominican Republic, 3 527 social and community organizations have been contracted.

CCTP officials have several types of labor contract. The federal servants have a career plan, timely promotions, social security and more advanced training. At state and local level, senior managers have definitive contracts, but the majority are temporary servants with commissioned positions, without promotions, and many of them are outsourced employees. The public function provides guidelines for people who want to hold public entrance exams and defines roles, profiles and responsibilities, even ethics in accessing the private information of the beneficiaries, which demand strategies to maintain a stable career. In turn, municipal liaisons may not be permanent workers. However, stability guarantees that investments in training will last in the medium term, as well as leading to progressive advances in knowledge levels and monitoring. For example, after hiring, a basic Excel course is offered and in the second year, the officials can take the advanced Excel course, English, or some other progressive technical training. That is why, in Mexico, temporary officers are not subject to training which generates a high staff turnover and a need to continually repeat training programs, investing more resources and creating inequalities in capacity development. Some countries operate mainly with volunteers, like the Dominican Republic, which has 14 thousand operational field volunteers.

3.2 Hiring and Training of CCTP Officials

In CCTP, the job profiles announced in opening public tenders for careers, specific areas, and officials are required to have a high level of formal education and skills to be approved on merit. In Brazil, more than 60% of federal managers are post-graduates and in the other countries, more than 60% are graduates. In the municipalities, completed higher education is not required, and the level of schooling varies: officials have a superior level and operatives a high school level of education.

The level of schooling is recorded at the Federal Public Service Human Resources sector, and surveys conducted with staff ask for education, skills and performance. However, this data is neither systematized or monitored, nor easily available, even for managers.

Training plans are based on annual consultations regarding training needs identified by the officials that orientate the courses to be offered the following year. These annual diagnoses are not available or analyzed in time to guide medium or long-term planning, which is considered the responsibility of the human resources sector, applying the consultation of needs, and preparing the courses with their partners – government schools, or contracted public or private university services. These plans are complemented by government school initiatives.

In Mexico, for reasons of budget, time, and lack of coordination it is very common to opt for free online courses and general topics offered by universities, which don't necessarily correspond to the training needs.

In CCTPs, the comprehensive understanding of the program is the main issue in training. However, middle management, leadership, negotiation, results orientation, teamwork, general notions of the federal public administration, operational processes for the attention of families in poverty and indigenous languages, are also included in these needs. Planning and organization, attitude for service, creativity and innovation, decision making, group management, operational processes for the attention of families in poverty and induction to the social development sector are common issues for operational staff.

The institutions responsible for training are: in Brazil, the Ministry of Social Development (MDS) - Secretariat of Evaluation and Information Management of SAGI and SENARC, which designs didactic guidelines, prints and distributes materials to states and municipalities, and implements the training for federal officials, as it has specialists contracted for these activities. Moreover, the Caixa Econômica Federal (Caixa), is a public bank and also an operating agent for the beneficiary monitoring systems –therefore, Caixa is responsible for implementing the training for the officers who operate these systems.

In Colombia, the Administrative Department of Public Administration, an independent body, designs the guidelines for the training and development of human talent throughout the public sector of the State. In some cases, the same department implements training activities. Content also includes alliances for peace and social

responsibility. CCTP program managers design and implement their own in-house courses and to municipalities, and the execution is decentralized with the support of universities – mainly the National University, or public entities working with the human talent approach. The Public School of Public Administration and, in the states, private universities also participate. External collaboration is indispensable since public service “does not have the conditions or ample equipment to cover the training needs of the whole country. That is why they hire universities” (Interviewee 2).

In Mexico, the central planning of talent training is coordinated by different institutions at the federal level: the General Directorate of Administration and Finance – Sub-directorate of Personnel Development is responsible for coordinating and supervising the operation of the Professional Career Service, the structure staff, conduction and supervision; and at the regional level, the General Directorate of Attention and Operation designs and operates the professionalization program and fees of the state delegations coordination and evaluation process which, generally, is reduced to an administrative follow-up. There are also courses implemented directly from the CCTP, through its online platform, or directly by the federal government platform. Some of these courses are mandatory, such as the fight against harassment, risk management and natural disasters. Most of the compulsory courses are contracted with several external public universities and institutes.

In individual states, courses are offered directly by the general management of the CCTP, through emails, and video-conferences in which all state delegations participate. Also, general management officials must apply for certification courses every five years, where they are trained in CCTP’s rules of operation, its history, public policies, etc. On the other hand, fee officers do not undertake these certifications. Moreover, there is access to formal post-graduation with public research centers for middle and senior level managers, and certification for other specific needs, such as Social Comptroller, Attention in Indigenous Mother Tongue and Teaching of Human Capital.

In the Dominican Republic, the Ministry of Public Administration (MAP) defines the operational training plan each year and they are decentralized in the states, each institution defining its training plan of human resources independently, without consulting or informing the MAP, while training and guidelines and central themes are defined by the program. The universities implement the training, in accordance with the guidelines and topics pre-determined by the public service. Formal training is carried out by universities, by training institutes, and consultancy agencies.

In general, there are agreements with non-governmental organizations, universities, research centers or other external agents involved in the training of CCTP officials. The only exception is Brazil, where only the World Bank technically supports and finances, through cooperation projects.

The National Training Schools for Public Officials, created in the 1960s in the region, currently have a marginal role. In Brazil, the National School of Public Administration – ENAP – develops training programs and public officials participate in competitions to pursue specialties, masters and doctorates offered by government schools. The teachers of these courses are also public servants who are not from a cadre of the schools but are officials from different sectors of the government, graduates summoned to administer the classes. They do not provide specific training in CCTP, but general training in the skills and behaviors necessary to manage programs.

In Colombia, the National School offers some training, and the CCTP sometimes decides to take on this training but doesn’t work permanently with them; the main training agent is the National University, which designs and implements all public administration courses for officials.

In Mexico, the National Institute of Public Administration, INAP, offers training in management and public administration, as well as specific public policy issues, and Prospera has sometimes worked with the Institute.

In the Dominican Republic, there is the National Institute of Public Administration. INAP. However, very little training is required for the program.

Public-private cooperation isn’t common in training officials and there are no private cooperation mechanisms established. Exceptions are the need to hire hotel infrastructure for national meetings or to hire companies for printing materials. In the Dominican Republic the RICA Foundation, from the private sector, collaborates in training, and there is also training through the church, as well as several inter-institutional strategic linkages between government, civil society and the private sector.

Officials must register their training and education, but these are not considered as career progression or in lieu of additional salaries. Career advancement is not automatic, according to training undertaken, but through competition, and officials must apply for another public contest for a higher position. On the other hand, they can suffer sanctions if they fail in training. Only in Colombia are awards for good results part of internal

competitions to choose the best officials or work groups, through performance evaluation with cash bonuses.

3.3 Infrastructure, Facilities, Equipment, Materials and Budgets of the CCTP Managers to Carry out Training

The countries don't have an infrastructure to implement training. Brazil and the Dominican Republic are exceptions. In Brazil, the MDS has enough facilities, equipment and materials to administer courses, but only for one group at a time. This is why collaborations are established with government schools, which offer ample classroom infrastructure and their own accommodation. On the other hand, the materials produced by the MDS are sufficient to send throughout the country and to meet the demand of the states and municipalities.

In the Dominican Republic, there is a central infrastructure with facilities, as well as in the localities, but with some limitations such as non-availability.

In Colombia and Mexico, there is no domestic infrastructure at the central level to provide training so, when they need it, space or the universities with whom they have agreements are contracted. However, the regional offices do have the infrastructure to administer courses directly, such as projection rooms, boardrooms for officials, or they can also opt to rent hotel rooms.

Specialized human resources for capacity development are also unavailable in the region. However, the managers are constantly updating knowledge in conjunction with government schools, and they are multipliers of the knowledge acquired in training and through experience. The states have instructors trained by those at the central level, and the states have the autonomy to mobilize and coordinate efforts to multiply the courses. States can also request technical support to administer the training; in this case, federal or other state officials move to the municipalities to administer the training.

The opportunities refer to the free execution by the states, which decide dates, locality, and number of participants. The limitations are related to the long and bureaucratic bidding processes of companies that provide infrastructure and equipment. The challenge of continually training new officials (since there is a high turnover of officials, mainly at the municipal level) is that previous officials can leave without reviewing the knowledge acquired.

In Colombia, within the Sub-Directorate of Human Talent, there are specialized personnel in training, but their support is more logistic and administrative; they identify the courses, organize the administrative part, and are not experts in directly administering the training, but they do manage them.

The Dominican Republic does not have specialized personnel – consultants are hired – although they have a training address where they can train families; this work is done through INFOTEC, which is invited and signs a collaboration agreement, and the public administration staff coordinate the actions.

In CCTPs, the source of the budget for capacity development is the National Treasury and, in general, funds are scarce. In Brazil, the MDS manages a specific budget for training, which is assigned to the SAGI / MDS to directly execute training at the federal and state level. In turn, states and municipalities also have their own budget to implement their training and can also use the resources sent to state and municipal governments by the federal government, based on the Program's Decentralized Management Index. Until 2018 the World Bank had an agreement and financed training. In 2018, the value from the federal government was 977.7 thousand reais (around 250 thousand dollars); three quarters was used for trips and a quarter for printing materials.

In Colombia, the program has a specific budget for capacity development – around 700 million pesos (230 thousand dollars in 2018). The sources of financing are the public resources of the nation, originating from taxes, and also royalties, yields and common funds. CCTP executives do not have the autonomy to manage the training budget, but to participate in the design, and make suggestions and surveys. They manage a small part of the budget, around 300 million pesos, basically for strategic activities, such as the induction of new officials and national meetings with regional offices to reinforce some concepts.

In Mexico, there is an authorized budget for the training of professional career service personnel that is authorized in the annual Program budget, sourced from federal public resources and taxes. The budget for 2016 was to 14.9 million pesos, which was reduced to 679 thousand in 2017 and to 250 thousand in 2018. The program management has the autonomy to make decisions on the investment of this budget, always within the guidelines established for its management, and in accordance with the provisions of the Annual Training Program and the training needs presented by the areas.

In the Dominican Republic, budgetary decision-making occurs at the time the operational plan is made (based on the process of consultation of training needs) and from there it is planned what the annual budget will be. In 2017, USD 500,000 was used to train 9,000 employees at the operational level. The sources of the training

budget are the national budget, taxes, and also international organizations. In 2017, a budget of 500 thousand dollars was dedicated to training operational personnel (nine thousand people). On the other hand, the World Bank budget was used to hire universities, for operational training and the sub direction of the program opportunities.

3.4 Contents and Modalities of the Training Vary according to Planning and Demands of Officials in Each Country

In Brazil training is concentrated towards the Single Data-Base and in the application of interviews, registration, inclusion and exclusion of beneficiaries; traditional population groups; the objectives and rules of the CCTP, Social Control (participation); control of improperly received benefits ...; profit management; PBF payment; conditions, effects of non-compliance; family accompaniment; complementary actions and actions of the states and municipalities; articulation between the CCTP data-base and other national systems. And the formal capacity developments considered essential for civil servants are economics, statistics, social service, business administration, psychology, accounting, public management, anthropology, international relations, pedagogy, graphic design, industrial design, product design, advertising and propaganda, and marketing, among others, as well as Excel.

In Colombia, training content includes administration, systems, public procurement, Excel, citizen service, customer service, community work, languages, writing and spelling, techniques for effective meetings, socio-emotional and cognitive skills oriented to problem solving, effective communication and coordination of efforts, coaching and leadership, innovation issues, changes in information systems, information systems, incentives, requirements monitoring, and life skills. The training is based on demand from the officials and, in the municipalities, the technical topics considered necessary are offered in several modalities.

In Mexico, there are several training courses in management, hard and soft skills, and post-graduation courses to develop social and analytical skills, which recognize the main problems, needs and cultural expressions of the beneficiary population, and improve the capacities of social and citizen attention, as well as the efficiency and transparency in the operation of the program. Examples range from Advice on Social Controller's Office in Public Administration, Attention in Mother Language to the Talking Population of Indigenous Languages in Social Programs, and are offered to caregivers of the indigenous population, in addition to the Teaching of Human Capital training courses for officials responsible for the training of state delegations.

3.5 Monitoring and Evaluation of the Training of the CCTP

The monitoring and evaluation of the quality of the programs and institutional arrangements that support capacity development is based on different methodologies for measuring institutional performance that analyze financial results, knowledge and innovation, internal training processes and the care and guidance of the client. Although they were designed to assess the institutional capacity of the private sector, these methodologies also apply to the public sector (Kaplan & Norton, 1992). However, in Latin America there is not a culture of evaluating capacity development.

The Human Resources sector of CCTPs does not follow training or skills developed by the officials in a timely fashion to be able to provide the availability of talents or to carry out strategic planning of the training of personnel. The CCTP officials interviewed state that they do not ask for or use it for management purposes, to build a talent bank, to follow training achievements, to estimate budgets or to provide subsidies for planning capacity development of functional cadres.

In Brazil, there is no National Capacity Development Plan since the objective is to train everyone, without defining a plan, specific goals or evaluation. There are annual reports and forms with data on all the training, and the self-evaluations made by the officials who receive the courses are reported. At the end of each course an exam to be approved is applied, and participants must reach 100% frequency and 60% success in the final exam in order to be certified as Management Instructors and administer that course to state and municipal managers and technicians or even participate in the training of new instructors at the central level.

However, the information on training evaluation is not organized in digital databases that allow the development of a systematic analysis of progress, a monitoring system, or a situation analysis and design of future actions based on evidence.

Preliminary evaluation results suggest that the training offered by MDS officials gives a better result than the external, because officials have more practical experience with the program and orientation towards public services, and in issues that are not addressed in universities, like guidance on how to use the knowledge offered by Caixa Economica Federal, which manages the data-base of the beneficiaries; this knowledge is acquired in

workshops working directly to manage the system via the computer. The officials who receive the training identify, in their evaluations at the end of the courses, the differences in results in each of these modalities, and the participants confirm the better results of MDS than those of external training offered by universities, which they consider more theoretic than practical.

In Colombia, there are no evaluations. Before the induction course, officials are tested for the impact on knowledge acquisition. Another indicator of the effectiveness of induction is the 6-month trial, where more detailed information is gathered on the results of the training. Already at the entity level, evaluations are applied at the beginning and at the end of the courses. The Human Talent sector has just begun to measure some impact on performance based on the training offered, although this type of evaluation has not yet been formalized.

In Mexico, the Permanent Training Plan arises from an institutional diagnosis of the operational efficiency of the program, in order to respond to the high turnover and great diversity of positions and functions, as well as the need for sensitization of officials to attend to the target population. As a result of the diagnosis, an induction manual has been developed with an introduction to the position, functions and skills, focusing on efficiency, and a procedure manual with the basic instructions for operating the program, to eliminate the need for managers to continually repeat themselves (due to high employee turnover).

Based on this experience, a systematic and permanent process has been developed aimed at strengthening specific aspects that benefit the organization, providing staff with knowledge, skills, and behaviors that allow them to improve their performance and generate greater productivity and efficiency. The evaluation was based on a comprehensive process of diagnosis of the situation, planning, implementation and evaluation of programs, adaptation to changes, from which an Attitudes and Values Development Index is applied.

At the end of each regional delegation training course, an evaluation has also been carried out: qualitative evaluations on the relations with those responsible for the care are applied at the attention tables. In 2016, for example, 3,014 surveys were applied to Beneficiary Holders, 2,679 surveys sent to holders with co-responsibility and 335 surveys sent to people without co-responsibility, resulting in 670 replacements.

4. Discussion

The size and role of the public sector influence the results of the CCTPs and their ability to maintain public operations and provide goods and services for populations. The necessary inputs, such as fundraising and spending, vary greatly between countries and translate into indicators of government revenue, expenditure and employment. For example, in Brazil there is a greater capacity for collection and investment, more government jobs with fixed positions and definition, which is reflected in greater efficiency in the generation of capacities in public management and in the implementation of the program, as well as greater independence to make budgetary decisions and to design and implement training with the human and physical resources of the same bodies responsible for the CCTP.

In contrast, in Colombia and Mexico, although having lower collection and public expenditures, budgetary autonomy and more flexible mechanisms for public procurement and human resources management are partially achieved since the program managers themselves can make decisions and choose from a variety of options to promote the training of public servants. One of the advantages of this flexibility is the ease with which leadership and strategic human resources management approaches are included in public service training agendas. In these countries, the tradition of career management is not so directed, but that leadership development is based rather on the choice of people of what positions they want to apply for. The problem with this system is the high turnover and there are no competition mechanisms based on competitiveness.

In turn, staff decision-making is more central to Brazil, which has a board of directors for the entire public sector that coordinates the entire process of training decisions, from design to implementation and the development of common materials. While in Colombia and Mexico the decision-making of the CCTP executives is more decentralized, based on independent leadership teams and a pool of agencies and institutions that includes universities, administration schools and specialized institutes in the beneficiary public or in topics of specific interest to the programs.

All countries have adopted recruitment criteria for CCTP by merit, through open calls, which should reduce arbitrariness or political motivations in hiring, firing and termination of servants; However, there are indications that contracts, especially fees, are often also awarded through personal knowledge criteria.

Brazil and Colombia show that they have more developed processes of management and training of CCTP staff since their institutions are more robust and their staff has greater strength in terms of decision making, budgetary autonomy, and for the planning of training, while Mexico has just been developing and strengthening its human

resources management processes. Although the old methods of management guidance manuals, (which are simply formal in nature) have been maintained, processes have been developed to overcome these deficiencies, through links with a variety of high-level graduate institutions, in order to develop and improve the technical capacity, level of professionalization, and performance evaluation of its officials and programs. In particular, Mexico has included a multitude of training to promote the skills of public servants and thus manages to listen with greater sensitivity and ability to the enormous diversity of languages, cultures and the needs of the most vulnerable groups in society.

To address the lack of skilled workers that characterizes the region, countries have developed not only recruitment processes based on specific skill requirements and guidelines, but they have also offered a multitude of training courses that encompass different strategic, analytical and training skills – leadership, coordination, integrality of actions, socio-emotional and social or cultural development. Countries are seeking mechanisms to make the implementation of policies more sensitive to the changing needs of societies.

In relation to institutions, in Brazil and Colombia, the offer for capacity development was concentrated in public institutions, and national training schools specialized in administration issues. Although this model gives homogeneity to capacity development and content, they face the rigidity of institutions to respond to specific, emerging and local problems.

In turn, Mexico and the Dominican Republic adopt the outsourced training model and their training is multiplied in many external institutions and agencies. Despite the difficulty of centralizing and guiding the programs in a coherent way, this model presents greater flexibility in the choice of the agenda and collaborators for training and education, although duplications can also occur.

5. Conclusions

Training and innovation of civil servants is a central strategic element in facing the various challenges of social policies and public service, and depends largely on public-private cooperation. All countries have undergone changes in the role of the state in different levels: strengthening new public management, open public services and universities, to take advantage of their potential and to promote greater involvement and expand their social role, providing public services and bringing science and research to the center of the process of inclusive policies.

Although all countries have highly sophisticated and mature public and private institutions, with the capacity to serve both public and private sectors, in Brazil the development of centralized capacities in the MDS and other state and municipal government bodies limits the openness of the evaluation of social policies by external consultants and, ipso facto, greater transparency and dissemination to society of the processes and results of the programs.

Most countries do not have a systematic culture of evaluation of training processes to measure the benefits of capacity development or training strategies at the level of central and state government, in order to learn about the improvement of public services delivered and the interaction of officials with the beneficiaries of social policies, what is the main weakness in their capacity development for CCTPs.

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